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ABSTRACT

The handbook reflects diverse approaches to faculty development gained through direct contact with more than 200 colleges and universities. It contains theoretical background and exercises, instruments, and handouts on such topics as: models for faculty development, faculty motivation, portfolio evaluation, instructional development, course design, organizational and personal development, leadership, interpersonal skills, life planning, values clarification, program development and evaluation, the community development approach, and the evaluation of faculty development programs. (MSE)

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A HANDBOOK FOR FACULTY DEVELOPMENT

VOLUME 2

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William H. Bergquist and Steven R. Phillips
General Editor: Gary H. Quehl

A HANDBOOK FOR FACULTY DEVELOPMENT

VOLUME 2

William H. Bergquist and Steven R. Phillips
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To Jason and Katy
and
David and Jeffrey

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Preface

In the preface to the first volume of *A Handbook for Faculty Development,* we suggested that if, "after a few years use, this book is in tatters, it will have served its purpose of helping to initiate and sustain the on-going process of faculty development." Even though some of the early copies of the first volume assumed a loose-leaf format somewhat sooner than we had hoped, we at least knew the book was being used, and for that we were grateful. We now would like to extend the same invitation to readers of this second volume; please feel free to use, modify or develop this material in ways that are appropriate for you. If, after a few years use, this volume is falling apart, it will have served its purpose.

The responses we have had from readers of the first volume have been quite gratifying. We are very pleased with both the number of copies of that volume that have been distributed and the enthusiastic reactions it has received. When writing the first volume of the handbook, both of us were concerned about the way in which instruments, handouts, exercises, planning documents and concepts might be employed by faculty development practitioners; we worried that these materials would be used in ways not fitting or appropriate for a particular setting or program. We have discovered that these concerns were unjustified. Those who have made active use of the first volume generally have shown great sensitivity and skill in the adoption and modification of handbook materials; we expect that the second volume will be similarly used.

Many readers of the first volume have made numerous suggestions concerning the content and form of the second. We have tried to incorporate many of these and believe that the second handbook is better as a result. This volume expands on concepts and practices like course design, life planning and values clarification that were briefly discussed in the first volume or, like portfolio and program evaluation, not discussed at all. In other chapters, we have updated and expanded such areas as instructional diagnosis and interpersonal skills, areas which were treated in some detail in the first volume.

Although this volume contains nearly as many practical tools as the first, it evolved into a somewhat more theoretical and reflective statement. In looking back, we believe this to be consistent with the growing maturity of faculty development; a relatively firm theoretical base can now begin to be established. At several points in this second handbook we have identified specific research projects that should be conducted or conceptual models that need to be filled out on the basis of both field experience and research. We hope that these recommendations will provide an appropriate impetus toward the continued development of a theoretical foundation for faculty development.

Volume Two of *A Handbook for Faculty Development* contains many insights which we have gained from our work with colleges and universities throughout the United States. We cannot begin to acknowledge all of the people who have been helpful to us in this regard, though we have attempted to identify the primary sources of our ideas where possible.

We wish to express specifically our gratitude to Gary Quehl, the President of the Council for the Advancement of Small Colleges. Gary is not only the general editor of this series, but he has also been a very close friend and constant source of ideas and encouragement. We would like to acknowledge the assistance of the University of Puget Sound and of the many faculty and administrators there who have been involved with us in the actual process of faculty development; we are grateful to the Lilly Endowment for its support of that program. We similarly acknowledge the contributions of the participants in the CASC Advanced In-Service Faculty Development Program and the generous financial support of the Kellogg Foundation. Many of our ideas were worked out with and through the forty-three exceptional individuals in this program.

We wish to express our continuing appreciation to those people who were important to us in our early work in the field of faculty development: Jack Noonan, Bill Barber, Bonnie Buenger Larson, Gerry Perkus, Fred Fosmire, Walter Sikes and Betty Hunter. Many of them have continued to be important sources of ideas and encouragement for us. Several other faculty development practitioners or researchers have been particularly influential in our work during the past two years: Jack Lindquist, Malcolm Parlett, David Ost, David Halliburton, Jerry Gaff, Fred Gaige, Carol Zion, Sheryl Riechmann, Joyce Povlacs, Betty and Glen Eriksen, Chris Daggett, Susan Cowan, Bob Diamond and his staff at Syracuse University's Center for Instructional Development and, especially, Nancy Barber. We wish finally to thank Jennifer Grimes Bergquist and Jean Phillips for their understanding and encouragement.

To all of these people we owe a great deal. Hopefully this volume will at least in part convey what we have learned from our colleagues and friends.

Section I

Introduction

Chapter One

Models for Faculty Development

Higher education in the United States has undergone in the last ten years a transition so profound as to be revolutionary. Vietnam, student unrest, declining enrollments and financial retrenchment have all brought at times almost unbearable pressure on educational institutions and structures. Faculty development has been very much both a part of and a response to these rapidly changing conditions. Administrators and students have voiced legitimate concerns over the quality of teaching and learning in higher education. Lack of faculty mobility has forced institutions to look inward for new sources of growth and challenge. The need to survive in the face of increasing financial constraint has led both faculty and administrators to reexamine organizational patterns and structures. These and other forces are clearly behind the emergence of faculty development. Yet it may be that faculty development, broadly conceived as a movement concerned with the entire state of higher education, is considerably more than simply a response to crisis. At this point, as many recently established faculty development programs begin to move toward maturity, some reflection on the state of faculty development seems in order. Consequently in this opening chapter we would like to begin by examining some of the implications of faculty development for higher education. Next we would like to look at some of the competing theoretical approaches to faculty development current today and, finally, we would like to suggest a newer and somewhat broader way of conceptualizing the place of faculty development in an institutional context.

A. Paradigms and Assumptions

In *The Structure of Scientific Revolutions* Thomas Kuhn articulates a theory of intellectual change that has had significant impact not only on the history of science but also on other historically oriented disciplines as well. Although faculty development is not directly concerned with the shift from a Ptolemaic to a Copernican world view or with the change from Newtonian to Einsteinian physics, the process outlined by Kuhn can nevertheless offer a useful way of identifying faculty development's place in higher education.

According to Kuhn, once scientific communities have reached a certain level of maturity they begin to operate on the basis of "some implicit body of intertwined theoretical and methodological belief"[1] that he calls a paradigm. This set of assumptions and beliefs about the way the world — or a part of it — functions identifies for the scientific community the nature and limitation of its research. "The success of a paradigm," Kuhn writes, "— whether Aristotle's analysis of motion, Ptolemy's computations of planetary position, Lavoisier's application of the balance, or Maxwell's mathematization of the electromagnetic field — is at the start largely a promise of success discoverable in selected and still incomplete examples. Normal science consists in the actualization of that promise, an actualization achieved by extending the knowledge of those facts that the paradigm displays as particularly revealing, by increasing the extent of the match between those facts and the paradigm's predictions, and by further articulation of the paradigm itself."[2] Although a single paradigm can never explain all the phenomena with which it may be confronted, such issues are most frequently either excluded from the area of proper research or assumed to be ultimately but not currently explainable.

Occasionally, however, the scientist becomes aware of a significant anomaly, an important fact or event that cannot be explained by the current paradigm or that violates one of its fundamental assumptions. If, over time, scientific activity is unable to solve the puzzle of this particular phenomenon within the terms of the current paradigm, that paradigm itself may be called into serious question. As Kuhn writes, "Because it demands large-scale paradigm destruction and major shifts in the problems and techniques of normal science, the emergence of new theories is generally preceded by a period of pronounced professional insecurity. As one might expect, that insecurity is generated by the persistent failure of the puzzles of normal science to come out as they should. Failure of existing rules is the prelude to a search for new ones."[3] Out of this state of crisis, however, a new paradigm may emerge, one that more fully seems to explain significant phenomena than did the older paradigm. "Almost always," Kuhn very interestingly suggests, "the men who achieve these fundamental inventions of a new paradigm have been either very young or very new to the field whose paradigm they change."[4] After some time, and frequently not without significant opposition, the new paradigm becomes accepted as the current tradition.

In summary, the process of scientific revolution proposed by Kuhn may be seen as consisting of five steps. The community begins with (1) a belief in a particular paradigm, which is (2) upset by the discovery of novelty and subsequent confusion; (3) disagreement over solutions follow until (4) the community can begin to coalesce around a new candidate which promises to become (5) a newer and more satisfactory paradigm.[5]

Numerous scholars have applied Kuhn's speculations on the structure of scientific revolutions to a wide range of disciplines; perhaps these ideas may help explain some of the changes that have been taking place in higher education over the past several years. We would suggest that up until the mid-1960's the educational community shared a common, discipline centered paradigm of the teaching/learning enterprise. Primary emphasis was placed on expertise within the discipline, generally as represented by advanced degrees and publications. A close relationship was seen between active research interests and effective teaching; advanced undergraduate and graduate teaching assignments were the most desirable. The teacher was viewed as an expert whose primary responsibilities were to communicate information and to evaluate. "Faculty development" consisted of additional research possibilities, reduced teaching loads, lower student faculty ratios, sabbaticals and leaves of absence.

This traditional paradigm served to organize the activities and interests of higher education until the mid-1960's, when a significant anomaly was discovered or at least acknowledged: college and university teaching was frequently ineffective, at times incompetent. For some this realization came about through student unrest: as the Danforth Foundation's *Annual Report for 1964-65* suggested, "Nearly every discussion of student unrest points out the relation of that problem to the poor teaching that is often found on college and university campuses."[6] For others the realization came through research evidence on the impact of college on students: as one summary of that literature puts it, "the quality of teaching has relatively little effect upon the value outcomes of general education . . . so far as the great mass of students is concerned."[7] For yet others this realization came about through an increased awareness that higher education was primarily serving the research interests of the military industrial complex at the expense of its supposed clients, its students. However this anomaly came to light, it precipitated the period of crisis and confusion Kuhn finds characteristic of the failure of a once firmly held paradigm. Out of this crisis has come faculty development, a potential candidate for a new paradigm.

In the following section of this chapter we will discuss a number of alternate conceptualizations of faculty development; in some cases these are complementary, in others conflicting. Yet for all their differences, each of these theoretical approaches to faculty development shares the same set of assumptions, the same paradigm of teaching and learning. Those assumptions, summarized from Jerry Gaff's recent study, are as follows:

1. Faculty members are the most important educational resource of a college or university.
2. Teaching is the primary, though by no means the only, professional activity of most faculty members.
3. Scholarship and research — another major professional activity of many faculty members — need not be antithetical to effective teaching.
4. Teaching is much neglected by academic tradition.
5. Although there is little systematic evidence about how good the quality of teaching and learning actually are in most institutions, there is a general feeling, shared by many within and outside academia, that it can be improved.
6. Improving teaching requires working with administrators and students — perhaps even members of the larger community — as well as with faculty members.
7. Just as faculty members receive little preparation for their instructional roles, administrators have little training for the leadership, policy formulation, administrative and managerial roles of their work. Department chairpeople, deans, vice presidents, and presidents — no less than faculty members — need to develop and, furthermore, they need to encourage and support the growth of the individuals in their charge.
8. Teaching is a complex set of attitudes, knowledge, skills, motivations and values. The improvement of teaching and learning requires an awareness of the complexities involved in faculty, students and institutions and hence the avoidance of simplistic solutions.
9. Effective teaching involves helping students to attain desired learning objectives.
10. There is no single model of effective teaching or learning.
11. There is great diversity among students. Their various learning styles, which are based on differences in ability, interest, educational background, future aspirations and personality orientations, call for different kinds of learning experiences.
12. Faculty members, too, are a diverse lot.
13. An individual's professional work is intimately connected with his personal life.
14. Intrinsic interest rather than extrinsic demand is what leads individuals to seek improvement.
15. The willing involvement of faculty members and others in the various programs typically is seen as a necessity if enduring improvement is to be obtained.
16. Every institution contains many persons with expertise and experience which may be included in instructional-improvement programs.
17. Teaching and learning are individual but not solitary activities; they occur within a social context. The climate of the institution, the relationships between faculty, administrators, and students, and the policies and practices of the school affect the character of teaching and learning.[8]

These assumptions underlie and structure the faculty development paradigm. It is important to point out, however, that in Kuhn's terms a significant paradigm shift has not yet taken place in higher education generally; faculty development is at best only a candidate for a new paradigm. Many still cling to the traditional paradigm, many hope that the events of the past several years were only a minor eruption in the otherwise tranquil flow of academic life. Whether or not the paradigm offered by faculty development will become the new tradition is largely up to all of us.

B. Three Models for Faculty Development

Although the assumptions contained in the paradigm identified above will be shared to some extent by all of us concerned with faculty development, there are perhaps as many approaches to faculty development as there are individual programs. Three general models, however, can be identified; hopefully, aspects of one or more of these can help all of us clarify our thinking about the nature of the enterprise in which we are engaged.

Even though, as we shall see, each of the models discussed below has certain areas of disagreement, all three are nevertheless based on Goodwin Watson's belief that change can be seen as taking place in the areas of *structure* — organization, use of space, authority — *process* — human interaction, communication — and *attitude* — values, assumptions, philosophies.[9] Although Watson, as a social psychologist, insists fairly heavily on the modification of structure as the genesis of significant change — changed structures cause changed processes which in turn cause changed attitudes — the three models of faculty development discussed below all suggest that a program may theoretically begin at any of these three levels. Emphasis on a particular level will be determined more by timing, the needs of the program and the needs of the institution than by Watson's assumption about the sequence of change.

The first model of faculty development was presented by the authors in a 1975 article in *The Journal of Higher Education;* this model sees faculty development as composed of the related activities of personal development (attitude), instructional development (process) and organization development (structure). In our original article we stressed our belief, which we continue to maintain, that instructional development is the most logical entry point for most emerging faculty development programs and that, while personal and organizational development are necessary elements of a comprehensive program, they are nevertheless usually secondary. It is important to emphasize, however, that a comprehensive program of faculty development will be able to operate at all three levels of attitude, structure and process.

A second and related model of faculty development has been presented by Jerry Gaff in his recent study of the entire field. Gaff identifies three alternate conceptions of instructional improvement: faculty development (attitude) — apparently for him "Faculty Renewal" as used in the title of his book is the more broadly encompassing term — instructional development (process) and organizational development (structure). Although the latter approach is the same in the two models, a glance at the accompanying diagrams will indicate that there is considerable difference in the first two categories, for Gaff's concept of "faculty development" contains elements of both what we define as personal and instructional development, while his idea of "instructional development" focuses much more closely on course and curriculum design. A perhaps more important difference between the two models is that while the first suggests that all three elements should be present in a mature faculty development program, the second seems to imply that any one of the three alternatives may be implemented without necessary reference to the other two. Hopefully when examined together these two models will do more to clarify than obfuscate efforts in this area.

A third model of faculty development has been more recently developed, which extends some of the ideas contained in the first two. While maintaining a concern with attitude, structure and process, this model broadens the definition of such terms as instructional and organizational development, adds the concept of community development, a concern with the entire environment of an institution, to the vocabulary of faculty development and extends the area of faculty development to issues beyond the level of individual institutions. Perhaps the most serious weakness of the first two models is that instructional development is limited to the process level and that organizational development is limited to the structural level. This third model indicates, however,

Model Number One*

	ATTITUDE	PROCESS	STRUCTURE
	Personal Development	Instructional development	Organizational development
Focus	Individual Faculty	Individual faculty Individual courses Curricula	Academic and administrative programs, departments and divisions
Purpose	Clarify values, attitudes and philosophies Improve intrapersonal and interpersonal functioning	Improve instructional effectiveness	Improve organizational effectiveness
Activities	Life planning Faculty interviews Interpersonal skills training Personal growth workshops Supportive and therapeutic counseling	Classroom observation and diagnosis Microteaching Instructional evaluation Instructional methodology and technology Course design Curriculum development	Team-building Conflict-management Decision-making Management training

*Source: William H. Bergquist and Steven R. Phillips, "Components of an Effective Faculty Development Program," *The Journal of Higher Education*, 46 (1975), 183.

Model Number Two*

	ATTITUDE	PROCESS	STRUCTURE
	Faculty Development	**Instructional Development**	**Organizational Development**
Focus	Faculty members	Individual courses Curricula	Organizations
Purpose	Promote faculty growth Help faculty acquire needed knowledge, skills, sensitivities and techniques	Improve student learning	Create an environment which promotes effective learning
Activities	Seminars Workshops Evaluations	New learning materials Redesign courses and/or curricula Workshops on setting objectives Evaluating students	Workshops for group leaders or team members Action research Revise organizational policies

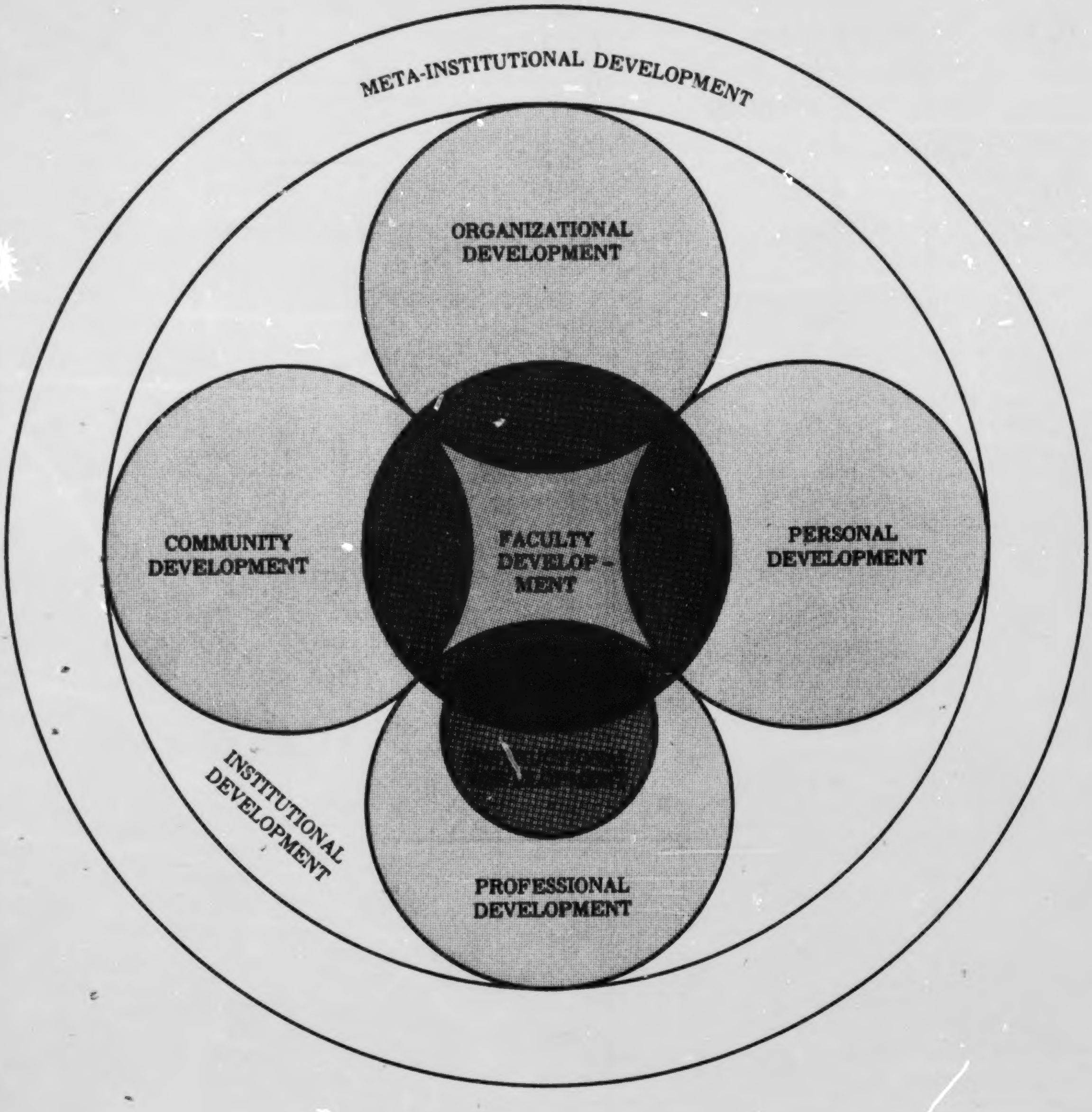
*Source: Jerry G. Gaff, *Toward Faculty Renewal* (San Francisco: Jossey-Bass, 1975), p. 9.

Model Number Three*

		STRUCTURE	PROCESS	ATTITUDE
FOCUS OF INTERVENTION	Individual	*Instructional Development* Consultation and training on course design, curriculum reform and educational technology *Organizational Development* Evaluation of faculty Faculty reward system	*Instructional Development* Classroom observation, diagnosis and training Training in interpersonal and small group skills Training in out of class skills associated with faculty roles	*Instructional Development* Promotion of alternate instructional methods Discussions about teaching Values Clarification *Personal Development* Life and career planning Counseling
	Group	*Instructional Development* Curricular and course design consultation Interdisciplinary and team teaching *Organizational Development* Departmental reorganization Use of space and time	*Instructional Development* Discipline or department centered instructional training programs Peer observation and feedback *Organizational Development* Group process observation	*Instructional Development* Knowledge utilization Departmental/divisional retreats *Organizational Development* Team-building Support groups
	Institutional	*Community Development* Communication and support networks *Institutional Development* Research and development center *Faculty Development* Program governance	*Community Development* Intergroup negotiation *Institutional Development* Implementing development programs *Faculty Development* Program planning and implementation	*Community Development* Community building *Institutional Development* Development of support for change *Faculty Development* Generating program support
	Meta-Institutional	*Meta-Development* Funding Establishment of formal networks and consortia	*Meta-Development* Define and clarify new change oriented professions Continuing education for educational change agents	*Meta Development* Publication of books, periodicals, etc. Demonstration projects Cooperative research projects

*Source: Prepared by William Bergquist for the Association for Innovation in Higher Education in conjunction with a presentation at the 1976 National Conference on Higher Education sponsored by the American Association for Higher Education.

Figure One


META-INSTITUTIONAL DEVELOPMENT
ORGANIZATIONAL DEVELOPMENT
COMMUNITY DEVELOPMENT
FACULTY DEVELOP - MENT
PERSONAL DEVELOPMENT
INSTITUTIONAL DEVELOPMENT
PROFESSIONAL DEVELOPMENT

A GRAPHIC REPRESENTATION
OF FACULTY DEVELOPMENT ACTIVITIES

how an intervention like instructional development can have impact at not only the level of process but at the level of structure and attitude as well. Finally, the third model clarifies the focus of various kinds of efforts in this area by suggesting alternate approaches to the individual, the group, the institution and the meta-institutional.

C. Faculty Development in an Institutional Context

Each of the three models discussed in the previous paragraphs attempts to isolate and define particular faculty development activities in a way that hopefully helps clarify their particular orientations and assumptions. Yet as anyone who has actually worked in faculty development knows, no particular activity retains in practice the precision of theoretical definition. Hence it may be better to visualize faculty development as a set of overlapping and concentric circles as presented in Figure One. Instructional development, for instance, can be considered a subset of professional development which, in turn, is partially, though not exclusively, an aspect of faculty development. Organizational and community development can be considered overlapping, yet distinctive, components of a faculty development program, yet both areas of activity also exist independently of faculty development. Organizational development can be distinguished from community development in that its ultimate aim is increase in productivity through improvement in the working conditions and climate of the institution. Thus, the focus is on the product and the way in which people work together in the accomplishment of institutional goals. By contrast, the focus in a community development program is on the individuals in the institution; how, if at all, are their personal needs being served in the context of the institution (community) to which they belong? Organizational and community development, on the other hand, do overlap in that both focus on the institutional setting — the way in which it operates and the way in which people relate to it.

By contrast, personal development focuses on the growth and development of the individual, with only secondary reference to the institutional setting or responsibilities of the individual. Personal and organizational development are interrelated, however, since both place an emphasis on interpersonal processes and the creation of supportive settings that are conducive to the development and expression of professional competencies. Personal and community development are interrelated in their concern for the welfare of the individual.

Since faculty development is a rapidly expanding field, this somewhat broader model is offered as only a tentative and temporary structure to describe the current and possible emphases in faculty development programming. Faculty development is more than merely a response to crisis and retrenchment, for it fundamentally offers a new and considerably more complex paradigm of higher education than that held in the past. This new model, in spite of its tentativeness, hopefully reflects both the order and complexity of this new vision. In many of the following chapters of this handbook, we will attempt to fill out several important aspects of the new paradigm through discussions of personal, instructional and organizational development and some speculations concerning the possible implications for faculty development of a new area, community development. Perhaps these efforts can play some part in continuing to establish faculty development as the new and dominant paradigm for contemporary higher education.

NOTES:

[1] Thomas S. Kuhn, *The Structure of Scientific Revolutions* (Chicago: Univ. of Chicago Press, 1962), p. 16.

[2] Kuhn, pp. 23-24.

[3] Kuhn, pp. 67-68.

[4] Kuhn, pp. 89-90.

[5] This five step sequence is taken from a similar sequence suggested by David A. Hollinger, "T.S. Kuhn's Theory of Science and Its Implications for History," *American Historical Review*, 78 (1973), 374.

[6] Joseph Axelrod, "Teaching Styles in the Humanities," William H. Morris, ed., *Effective College Teaching* (Washington, D.C.: American Council on Education, 1970), p. 39.

[7] Jerry G. Gaff, "Making a Difference: The Impacts of Faculty," *The Journal of Higher Education*, 44 (1973), 606.

[8] Jerry G. Gaff, *Toward Faculty Renewal* (San Francisco: Jossey-Bass, 1975), pp. 5-7.

[9] Goodwin Watson and David Johnson, *Social Psychology: Issues and Insights* (Philadelphia: Lippincott, 1972), pp. 196-221.

EXERCISE NUMBER ONE

TITLE: Assumptions for Faculty Development

SOURCE: Steven R. Phillips

GENERAL DESCRIPTION: Assumptions about something as complex and variable as faculty development are difficult to identify and articulate. Even though a number of these assumptions are discussed in Chapter One, few faculty development practictioners would agree with all of them. Other groups — faculty at large, administrators, trustees, alumni — might well emphasize widely different aspects. This exercise, which has been used with groups as small as twelve and as large as two hundred, allows participants the opportunity to identify and discuss some of the assumptions they hold about faculty development.

INSTRUCTIONS FOR USE: "Assumptions for Faculty Development" is based on the Card Exchange exercise presented in volume one of this handbook. Individual index cards are first prepared, each containing a single statement about faculty development; enough duplicates are made so that each participant will have six to begin the exercise.

Once participants receive their initial six cards, they are asked to engage in a bargaining session with others in an attempt to get rid of those cards containing statements they disagree with for statements with which they are more comfortable. After this trading has been completed, participants are then asked to form a merger with one other person holding cards they can agree with; it is acceptable to drop one card from each set of six if necessary to make a merger. Once pairs have formed, each pair is to find another pair whose cards they can agree with; again, one card from each group can be dropped to make a successful merger. Finally, after groups of four have formed, each group may be asked to list the four most and least important statements in their collection of cards and to share their reasoning and rankings with other groups.

ASSUMPTIONS FOR FACULTY DEVELOPMENT

Instructional development should be the heart of any faculty development program.

Administrators should receive training through faculty development in decision-making, conflict-management and organizational development.

Classroom observation should play an important part in most faculty development programs.

Administrators should participate as often as possible in faculty development workshops.

The primary client for any faculty development program should be the student.

The responsibility for keeping faculty current in their disciplines should not lie with faculty development.

An instructor's command of her discipline is the most important single factor in effective teaching.

An instructor's ability to write the right kind of exam is the single most important factor in effective teaching.

Improved administrative decision-making is not a proper concern of faculty development.

Improved interpersonal relationships between faculty and students are among the most important outcomes of an effective faculty development program.

Improved teaching should be the primary focus of faculty development.

The personal development of students should be one of the most important goals of a faculty development program.

An encounter group is not an appropriate vehicle for faculty development.

Institutional decision-making is an important concern of faculty development.

Faculty development programs need not concern themselves with the various faculty disciplines.

Faculty development should try to replace the lecture method with more student centered instructional techniques.

An instructor's ability to ask and answer questions is the single most important factor in effective teaching.

Widespread use of instructional technology is not appropriate for most faculty development efforts.

An instructor's ability to perform as an actor/artist in the classroom is the most important single factor in effective teaching.

Life planning is an important part of faculty development.

Teaching is a function of personality.

One of the most important resources faculty development can offer is the consideration of alternate teaching methods.

Faculty development can best function at a departmental level.

An instructor's availability for outside of class discussions is the single most important factor in effective teaching.

Video-taping of real or simulated classes should be an important component of any faculty development program.

The primary client for any faculty development program should be the faculty.

The primary mission of faculty development is to improve the performance of the poorer teachers.

Improved relationships between faculty and administrators are among the most important outcomes of an effective faculty development program.

Improved relationships between faculty are among the most important outcomes of an effective faculty development program.

A faculty member's family should be formally involved in a faculty development program.

Faculty development should focus primarily on the classroom.

Faculty development should focus its efforts on those faculty who are having significant teaching problems.

Increased personal growth for faculty is one of the most important outcomes of an effective faculty development program.

Faculty development should be closely linked to faculty evaluation.

The primary client for any faculty development program should be the institution.

Faculty development should be concerned primarily with improving lecture methods.

Faculty development should concern itself with the significant role faculty play in institutional decision-making.

Faculty development should not be concerned with personal and interpersonal issues.

Faculty should be required to participate in faculty development programs.

Faculty development should help defend against grade inflation.

Faculty development should not be concerned with the personal lives of faculty members.

Faculty development should attempt to improve administrative decision-making.

Faculty development should be kept clearly separate from faculty evaluation.

Faculty development should not be concerned with organizational issues.

Faculty development should help foster interdisciplinary studies.

Instructional technology — slides, films, audio-visual aids generally — should be heavily promoted by a faculty development program.

Chapter Two

Faculty Motivation*

A question which is frequently asked of practitioners in the field of faculty development is: "How do you motivate faculty?" Sometimes this question is framed with greater focus: "How do you motivate faculty to try something new in the classroom?" or "How do you motivate faculty to participate in a professional development program?" Regardless of the level of precision with which the question is asked, the answer must necessarily be rather vague and ill-founded, for we have very few tangible insights into the vital sources of motivation for faculty.

Those who are actively involved in the design and implementation of faculty development programs do not have access to either a significant amount of information about faculty motivation or to a comprehensive theoretical model by which the information we do have can be systematically organized. In this chapter we will not be able to accomplish this major task. We hope, however, to make a beginning by discussing several specific aspects of faculty motivation and by offering a tentative model of how what we do know might be organized. Hopefully this will be a useful step toward answering the question "How do you motivate faculty?"

Our selective review of faculty motivation will be based on two distinctions. First, we will maintain a difference between a motive defined as a *trait* or characteristic that typifies a specific person and as the current *state* of the person in relationship to his surrounding social and physical environment. Using a trait theory of motivation we would describe a faculty member as being "aggressive," "achievement-oriented" or "curious." A state theory would instead describe conditions under which a faculty member would be likely to act aggressively, would be concerned about achievement or would appear to be curious. A second distinction concerns the source of motives: they are either *intrinsic*, primarily attributable to factors residing within the individual, or *extrinsic*, primarily attributable to external environmental factors. We will specifically consider three different types of theories as they relate to faculty motivation based on these two distinctions: (1) intrinsic-trait, (2) intrinsic-state and (3) extrinsic-state.

A. Intrinsic-Trait Theories of Faculty Motivation

Several of the significant needs that were originally identified by the famous psychologist Henry Murray relate directly to our understanding of faculty motivation.[1] These needs are achievement, affiliation, esteem and actualization. The first of these, achievement, has received significant attention in recent years[2] as an important determinant of adult behavior in our society. Individuals who exhibit high need for achievement are apparently more likely to take pride in accomplishments when success is possible than are low need achievers. Furthermore, those persons who seem to exhibit low need for achievement are more often motivated by a fear of failure than by a tendency to seek and enjoy success. Consequently, among those individuals who are achievement-oriented, motivation tends to be enhanced following failure and decreased following success. Among those individuals who are low in need achievement, on the other hand, motivation is inhibited following failure and enhanced following success.

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In order for need achievement to be an influential motive, several social conditions must be met: (1) the individual must consider herself responsible for the success or failure of an activity; (2) there must be explicit knowledge of results so that she can determine when she has succeeded; and (3) there must be some degree of risk concerning the possibility of success. Under these conditions, the person who expresses high need for achievement will tend to select a task that is challenging and holds some prospect of failure. She will show a preference for intermediate risk and a realistic level of aspiration. Conversely, the person who is dominated by fear of failure will show a low level of aspiration. She will select a task that can be easily performed. The high need achiever will be more likely to persist at a task following initial failure than will the low need achiever.

College faculty, like most professionals with advanced degrees, are part of a highly competitive milieu in which many highly talented people are vying for few, often ambiguous, rewards and prizes like books, grants, awards and salary increases. The achievement-oriented faculty member will tend to value this milieu and will actively seek its rewards. He will avoid activities in which success can be neither clearly assessed nor adequately rewarded — such as classroom instruction. The low need achiever, on the other hand, will tend to avoid any risky situation. He will probably either engage in "normal science"[3] — that is, low-risk research — or retreat to the classroom, viewing it not as a challenging setting but rather as a shelter.

While there are obviously exceptions to this characterization of faculty, many faculty development practitioners may be faced with the dilemma of working with faculty who are either high risk-takers and therefore engaged in interesting and potentially successful research or campus activities or are low-risk takers who have comfortably settled into a standard classroom routine. The faculty development practitioner is often confronted with the difficult task of making risk-takers out of low risk-taking faculty who are oriented toward the classroom, and of making teachers out of high risk-taking faculty who are oriented toward areas other than the classroom.

A second need, affiliation, may also play an important role in determining the interests and activities of faculty. Because the classroom is an active interpersonal setting, some faculty with high needs for affiliation may find classroom instruction to be highly attractive. The social milieu of college faculty, however, is not generally supportive of significant affiliation between colleagues outside the classroom. Professional norms for instructional and scholarly autonomy discourage faculty from collaborating with their peers — especially faculty from other disciplines. Furthermore, the emotional dimension of affiliation tends to contradict the normative emphasis in American higher education on rationality.[4] While high need achievement may tend to drive effective, risk-taking faculty out of the classroom, high need affiliation may attract others to the classroom, yet at the same time not satisfy their affiliation needs in other aspects of their professional lives.

Neither need achievement nor need affiliation would seem to explain adequately the strong interest of some faculty in teaching, nor do they explain the diversity of styles shown by faculty in their teaching behavior. Other needs which were identified by Murray might provide additional clues as to the motivations of faculty: autonomy, exhibition, avoidance of humiliation, order, play and understanding. Two of the needs that have been emphasized by Abraham Maslow might be particularly important: the need for esteem and the need for self-actualization.[5]

Maslow has proposed a well-known hierarchy of motives that begins with basic physiological and safety needs. If and when these two sets of needs are satisfied, various social needs become increasingly important: belongingness, love, companionship and warmth. At the fourth level are those needs which are associated with esteem: thinking well of oneself and being well thought of by others. Given the academic culture in which faculty work the quest for esteem may be very important, and, because difficult, even more attractive and desirable. First, the dominant academic culture tends to reward critical and analytic thinking. The successful scholar will find and expose the flaw in any argument or study. He will be able to determine where another person has failed to account adequately for some variable or piece of evidence. As a result, the esteem of one's colleagues is difficult to win and is rarely expressed in an explicit fashion. Faculty must therefore look to their students for support and reassurance; yet, since the students are supposed to be less knowledgeable than one's colleagues, their esteem will rarely fill the void.

A second element of the academic culture may be equally as disruptive. The dominant culture encourages faculty to work alone in both instruction and scholarship. Without frequent, working contact with colleagues and clear standards of excellence and achievement, the isolated faculty member often finds it difficult to assess his relative worth as a professional. Since the professional concerns of many faculty tend to dominate other, more personal, aspects of their lives, this lack of confirmed professional worth may influence the faculty member's more basic and pervasive sense of himself. The search for a sense of professional worth may be a dominant motivation for many faculty, though the search is likely to be disguised in many forms (search for departmental status, elevated grading standards or interdisciplinary rivalries).

Maslow believes that when all other needs are being met, the needs associated with self-actualization become dominant. Borrowing the term from Kurt Goldstein,[6] Maslow describes self-actualization in terms of a cluster of positive attributes: realism (accepting oneself, other people and the natural world for what they are), spontaneity, centering on problems rather than self, autonomy, a fresh and non-sterotypic perspective, establishment of profound and intimate relationships with a few people, democratic values and attitudes, creativity and nonconformity. It is unclear whether the search for self-actualization is an activity or set of activities which typifies the behavior of faculty. Perhaps the need for self-actualization will be of value in working with the exceptional faculty member, though this person will probably have to be described through a unique set of metaphors like those used by Joseph Axelrod in his discussion of university teachers as artists.[7]

Perhaps of greatest importance in Maslow's description of human needs is his concept of hierarchy. As we examine the lives of most faculty members we find that physiological and security needs are generally being met. While a specific job might be threatened or tenure might be in doubt, and while few faculty enjoy real financial security, most realize that they can provide basic needs for themselves and their families. Salary considerations certainly do not suffice to explain why faculty teach, since most faculty members could obtain much higher salaries outside of higher education. The movement toward collective bargaining in higher education, however, has brought the issue of security more clearly to the foreground. Although the ultimate consequence of this new emphasis remains in doubt, we must, it would seem, look beyond security needs to find out what motivates faculty.

The next highest level of Maslow's hierarchy concerns social needs. As mentioned above, many faculty might find that affiliative needs are being met in the classroom but not elsewhere in the institution. Similarly, achievement, esteem and possibly self-actualization needs of faculty appear to be thwarted and therefore possibly intensified in the academic world. Clearly there is a need for further reflection and investigation of these needs as they are expressed, met or not met in our colleges and universities. These needs become even more significant, yet complex, when examined not as enduring traits of faculty but as latent pressures that are particularly powerful at specific stages of a faculty member's adult development, to which we now turn.

B. Intrinsic-State Theories of Faculty Motivation

During the past ten years, significantly increased attention has been given to the continuing maturation process of people beyond adolescence. Through the work of Erik Eriksen, Jane Loevinger and Daniel Levinson[8] several conclusions have been reached concerning adult stages of development. First, an adult must adequately meet the challenge of certain developmental tasks during specific stages of his adult life. Second, if these developmental tasks are not accomplished then there is typically a sense of stagnation or alienation from self and others. Third, one must take these highly motivated developmental tasks into account when examining the intrinsic motives of adults.

Harold Hodgkinson[9] has given specific and extensive consideration to the developmental tasks of faculty. Borrowing heavily from the work of Daniel Levinson, Hodgkinson describes the primary developmental tasks of faculty at various age levels and makes full use of his own extensive observations of faculty and readings from relevant literature.

Hodgkinson begins with a description of the stage known as "leaving the family." He notes that colleges and universities function as intermediary testing grounds for adult behavior; they are protected settings which are essentially free from the demands of the typical world of work. For the faculty member, this sheltered environment is the one he lives in as an adult. Consequently, he is relatively isolated "from the psychological, economic and social demands the world of work places on most people, especially those who work with their hands and those who cannot physically leave home."[10]

In "getting into the adult world," the young (age twenty-two to twenty-nine) faculty member is confronted with several unique conditions. As a graduate student, he usually is given an opportunity to test out various aspects of the academic career, like teaching, research, scholarship, business and so forth. Furthermore, the "dream" of this age level is quite similar for most aspiring academicians: a financially and intellectually successful book, prestigious advisement and consultation, leadership in one's discipline, getting tenure, getting large research grants and "being beloved by generations of students."[11]

The role of mentor, which is an important factor in the development of most adults, is quite different for many faculty than for other professionals. Typically, most professionals identify with one (or more) faculty during their undergraduate or graduate educational experience. This faculty member serves as a "short-term mentor," advising the student on career-choices and serving as a model to students in the way they perceive the demands and challenges of a specific profession. For a faculty member, however, the mentorship may continue beyond the years of formal education. Many more aspects of the mentor's professional life are appropriate to him than to other professionals. As a result, the mentor of a faculty member may be a lingering image that influences academic goals and styles, as well as teaching interests. Among those people who extensively interview faculty about their own career development, important information almost inevitably emerges when the faculty member is asked to describe the one teacher who had the greatest influence on his decision to become a college teacher.

The major developmental task of "settling down," which occupies the attention of most faculty in their early to late 30's, tends to be focused on the goal of achieving tenure, rank, status or leadership. At this age level, according to Hodgkinson, "most faculty . . . are still mainly dependent on others because of the slowness with which higher education rewards ability and competence. . . ."[12] The second half of this age period, labeled "becoming one's own man," tends to be the period of peak activity for faculty in terms of publications and research efforts; not coincidentally, it is also the period when critical decisions are made about tenure, departmental leadership and so forth. This period tends to produce great stress in the faculty member's personal and professional life (often leading to personal and marital crises), for these decisions may have long term consequences for the career of a faculty member.

During the mid-career transition, which both Levinson and Hodgkinson link to ages thirty-nine to forty-three, many questions are asked concerning whether or not the faculty member is truly engaged in a "profession," given the perceived autonomy and power of other professionals like doctors and lawyers. Faculty also must often revise their "dream" to a more realistic level. They must face the fact that, if they remain in the academic world, they will teach at a collegiate institution that is probably not highly prestigious, they will not be treated with any special favor by their colleagues and they will retain only a modicum of autonomy, influence and power. Some faculty leave teaching at this point.

At age forty-three, Levinson and Hodgkinson speak of a period of "restablization." The faculty member may become a mentor to one or more younger faculty or students. He is likely to value the institution for what it is, rather than for what it should be (provided that he has decided to stay in teaching). Hodgkinson describes this period of life for the faculty member in quite positive terms:

> Many faculty members between the ages of 43 and 50 find a set of activities that orchestrate life and provide meaningful alternatives and supplements to teaching and research. Additionally, "productivity" becomes defined by the person's own goals rather than by an external set of criteria. Around 50, these activities have often provided the faculty member with a host of new friends, often people engaged in other forms of work besides teaching, and this may open many doors on how life is to be lived. For many faculty, then, this is a period in which there seems not to be enough time in the day.[13]

Though Levinson ends his description of adult stages of development at this period, Hodgkinson speculates about developmental tasks that face the faculty member beyond age fifty. Faculty members must often reduce their professional commitments because of decreased physical energy and may find that this reduced commitment yields greater autonomy. Faculty may also bring "greater perspective to their teaching and writing, the discipline may be less important and the concerns of humanity may increase in importance."[14] In this hopeful frame of mind, Hodgkinson leaves us to speculate about the transitions to retirement.

While the Hodgkinson-Levinson model of the stages of faculty development provides us with some valuable insights into the dominant, age-linked concerns of faculty, it is based on sketchy impressions and informal observations. The work of Nevitt Sanford, Mervin Freedman and their colleagues at the Wright Institute[15] provides a perspective on both the developmental phases through which faculty pass and the milieu or culture in which this development takes place.

Beginning with the work behind an exceptional doctoral dissertation written by J. Wesley Brown and Robert Shukraft,[16] members of the Wright Institute have interviewed over seven hundred faculty at four collegiate institutions — Central Michigan University, Stanford University, Johnston College at the University of Redlands and the University of California at Berkeley — and have arrived at several important conclusions concerning faculty motivation. First, most of the faculty who have been interviewed regard themselves as effective teachers and want to be viewed by their students and peers as effective. Yet low priority is usually given to teaching by these same faculty. "Teachers at distinguished institutions," according to Sanford:

> are oriented not to their undergraduate students but to their discipline. They want to present their subject rather than to influence the development of students, and they prefer graduate to undergraduate teaching. They define themselves primarily as members of their discipline, and their self-esteem depends most heavily upon the esteem of colleagues in their field and their adult advancement within it.[17]

Sanford also points out that most college and university professors share a "culture" rather than the profession of undergraduate teaching. This culture is a set of shared values and perspectives concerning teaching and the disciplines. Yet this culture apparently provides few satisfactions for many faculty, for Sanford has observed widespread unhappiness and cynicism among the faculty who have been interviewed.[18] The dream that Hodgkinson describes has perhaps been shattered for many, who find very little connection between the achievement of academic status and the achievement of most other human needs.[19] In this sense, the entire field of collegiate instruction might, to borrow Levinson-Hodgkinson's term, be considered in a state of "mid-career transition" — a transition that has been exacerbated by the dramatic reduction in public support for academically-based research and, ultimately, for higher education itself.[20]

We can extract three important conclusions concerning intrinsic (as well as extrinsic) sources of faculty motivation from the extensive writings of the Wright Institute staff. First, the current academic culture seems to be supportive of faculty so long as their developmental concerns are primarily associated with their discipline and research activities. When other developmental concerns associated with teaching and student development tend to dominate, then the faculty member is likely to feel isolated from his colleagues and estranged from the values and norms of academic culture. The Wright Institute staff suggests that discussions about teaching can legitimate these developmental concerns, as well as provide a means whereby they can be jointly explored and clarified.

Secondly, even if the formal reward system of a college or university supports a concern for teaching and student development, the informal, but powerful, academic culture of the institution may support a different emphasis. Thus, the young faculty member is placed in a motivational dilemma: should he meet one set of important needs associated with security and institutional commitment or another set of important needs which are associated with peer affiliation and status? Compounding this dilemma is the young faculty member's developmental concerns about identity and entry into the adult world.

Third, the development of a faculty member cannot be fully understood except in the context of the academic culture in which this individual resides; the Wright Institute staff is clearly a proponent of an "interactional" model of human motivation. Faculty will be motivated to teach only when the institution not only *allows* the faculty member to expand her teaching interests through creation of a supportive academic culture but also *assists* the faculty member to engage in this growth through provision of mechanisms for personal, professional and organizational development.

C. Extrinsic-State Theories of Faculty Motivation

The motivational equation is only half complete if consideration is not given to those motivating factors to be found in the faculty member's interaction with her physical and social environments. We must examine motives associated with her relationships with significant others (family, peers, supervisors, subordinates) and with department or division personnel. Consideration must also be given to the structure, process and climate of the institution in which she works, as well as other local, regional and national groups and communities of which she is a member.

We will examine extrinsic sources of motivation from two different theoretical perspectives: *organizational factors* that influence the way in which one works in an institutional setting and *systemic factors* that influence both the way in which power and information are distributed in an institution and the way in which one perceives and is rewarded for work.

1. Organizational Factors

Within the past two decades, the leaders of business and industrial firms have increasingly recognized the major role that is played by human (interpersonal and organizational) factors in determining the level of employee motivation. Rensis Likert, one of the original and most successful advocates of this position, states it quite simply:

> All the activities of any enterprise are initiated and determined by the persons who make up that institution. Every aspect of a firm's activities is determined by the competence, motivation and general effectiveness of its human organization. Of all the tasks of management, managing the human component is the central and most important task, because all else depends upon how well it is done.[21]

In a similar way, Douglas McGregor[22] believes that each manager holds an implicit theory about how and why humans behave. He believes that this theory manifests itself in the manager's relationships with his subordinates (and supervisors) in ways that make the theory self-confirming. McGregor labels the most pervasive and traditional theory of motivation Theory X. According to this theory:

1. The average human being has an inherent dislike of work and will avoid it if he can.
2. Because of this human dislike of work, most people must be coerced, controlled, directed, or threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.
3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all.[23]

McGregor believes that most theories of management, especially those that emphasize the manipulation of rewards, implicitly embrace these assumptions. In opposition to this theory, McGregor refers to the Maslovian need hierarchy and notes that:

> a satisfied need is not a motivator of behavior. . . .when man's physiological needs are satisfied and he is no longer fearful about his physical welfare, his social needs become important motivators of his behavior. These are such needs as those for belonging, for association, for acceptance by one's fellows, for giving and receiving friendship and love.[24]

McGregor observes that social needs are recognized by the typical manager but are viewed as a threat to the organization. McGregor proposes that higher order needs (esteem, reputation) are equally as important and rarely satisfied. Because Theory X ignores these higher order motives, it explains the consequence of a particular managerial strategy, but neither explains nor describes human nature.

As an alternative to Theory X, McGregor offers Theory Y, which embodies the following basic assumptions:

1. The expenditure of physical and mental effort in work is as natural as play or rest.
2. External control and the threat of punishment are not the only means for bringing about effort toward organizational objectives. Man will exercise self-control in the service of objectives to which he is committed.

3. Commitment to objectives is dependent on rewards associated with their achievement.
4. The average human being learns, under proper conditions, not only to accept, but to seek responsibility.
5. The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.
6. Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilized.[25]

McGregor emphasizes in Theory Y the integration of personal and organizational goals: "the creation of conditions such that the members of the organization can achieve their own goals *best* by directing their efforts toward the success of the enterprise."[26]

A similar model, with somewhat different emphases, is proposed by Robert Blake and Jane Mouton in their theory of "grid management."[27] They advocate the integration of concerns about successful completion of the tasks of an organization ("concern for production") with concerns about the process by which this task is being performed ("concern for people"). Blake and Mouton propose that the common assumption among managers is that task and process concerns are antithetical, whereas in fact (in the tradition of Theory Y) a group which is working effectively together and enjoys working together will also more successfully accomplish its task.

In the context of a college or university, the theories of Likert, McGregor, Blake and Mouton argue for collaborative relationships between faculty and administrators. To the extent that leaders of a collegiate institution can effectively integrate the goals of the institution with the expanding, work-related needs, motives and goals of its faculty, members of the faculty can be expected to work in an effective manner toward the achievement of institutional goals. To the extent that the faculty member's personal goals are viewed as being inevitably in opposition to the goals of the institution, and to the extent that successful performance of instruction is viewed as being somehow independent of the processes associated with personal motives and goals, members of the faculty can be expected to perform in a manner that is only coincidentally related to goals of the institution.

A third organizational theorist that we will consider, Frederick Herzberg, expands on our discussion of the motivational properties of work. Herzberg found in his studies of work motivation[28] that the factors which make people satisfied with their jobs are not those which, when absent, make these people dissatisfied. Those factors which provide satisfaction are achievement, recognition, work itself, responsibility and advancement. Each of these factors is directly task-related and corresponds to Blake and Mouton's performance dimension. The factors which independently yield dissatisfaction are interpersonal relationships (both with one's supervisor and with peers), the technical abilities of the supervisor, company policy and administration, physical working conditions and the individual's personal life off the job — factors that relate to the context or environment within which the job is performed. The process (people) dimension that Blake and Mouton identify seems to correlate closely with the sources of dissatisfaction. Salary tends to serve as both a source of satisfaction and a source of dissatisfaction.

Examined in the context of our previous discussions about need hierarchies, Herzberg's findings seem to indicate that once basic security needs are met, the sources of satisfaction in work tend to be related to a higher order of needs, esteem and self-actualization than are sources of dissatisfaction, which primarily relate to social needs. One might hypothesize, using Maslow's hierarchy, that sources of dissatisfaction must be eliminated before the worker will find satisfaction, and that interpersonal and organization process issues must be confronted before the inherent satisfactions of effective task performance will be recognized.

Herzberg also suggests that sources of satisfaction or "satisfiers" tend to promote increased production and hence can be called "motivators." Sources of dissatisfaction, conversely, tend not to reduce production rates, nor does the elimination of these "dissatisfiers" increase production. Active resistance to a particular job may be reduced by elimination of "dissatisfiers"; however, the passive acceptance that results is not motivating to the worker. A "good neighbor" policy will reduce work dissatisfaction but will not itself increase the effectiveness of the work environment. This type of "hygienic" management may provide a pleasant work environment and a considerable amount of around-the-job satisfaction but little direct job satisfaction or sense of enthusiasm or creativity.[9] Conversely, the task-oriented environment can yield satisfaction for the employee only if she has enough influence in the environment for it to be at least partly responsive to her needs. Once again, an integrated approach to management seems to be essential if the worker — in this case, the faculty member — is to be motivated in her work.

Several recent studies of faculty motivation have focused specifically on the Herzberg two-factor theory of work related motivation. In a study of job satisfaction among faculty, Arthur Cohen asked two hundred twenty-two community college faculty from twelve colleges to differentiate those aspects of their job which made them feel satisifed from those which made them feel dissatisfied. Over two-thirds of the respondents identified student learning or interaction with students as a primary factor leading to satisfaction. Conversely, over two-thirds of the respondents identified administrative, collegial and/or organizational difficulties as factors leading to job dissatisfaction.[10]

John Morris examined job satisfaction and dissatisfaction among faculty in nine liberal arts colleges.[11] His findings suggest that faculty find job satisfaction as a result of factors that are intrinsic to the work process. Respondents identified extrinsic factors as reasons for job dissatisfaction. Charles Aebi similarly found that for college educators "motivators" (sources of intrinsic motivation) contribute more to job satisfaction than to job dissatisfaction and that "hygienes" (extrinsic motivation) contribute more to job dissatisfaction than to job satisfaction. Work itself was identified as the source of greatest satisfaction and working conditions were found to be the greatest source of dissatisfaction. Aebi found that the Herzberg theory was applicable to faculty but not to administrators, and that the theory was least applicable to women, faculty over sixty years old and faculty making under $6,000 per year.[12]

2. Systemic Factors

Although organizational concerns seem to cover most of the widely-known extrinsic theories of human motivation, there is a second dimension that potentially could yield significant insights into the motivations of faculty — the systemic dimension. Each member of our society must confront each day a complex, overlapping and often contradictory set of social systems. Some of these are political, others economic, religious or educational. Some systems exist entirely within the institutions in which people work, while others tend to overlap or reside entirely outside these work-related institutions.

A social system can be defined as any group of people who construct boundaries and support an unequal distribution of power in order to accomplish certain common goals. System-boundaries are defined by implicit or explicit rules for membership and conduct. Power is determined by the capacity to control, based on the capacity to coerce, influence or inspire. Without boundaries or a gradient of power, a social system, like any physical or biological system, would lack coherence and direction and hence could not function effectively in attaining goals.

Within any social system, there is a flow of both information and resources. The rate and direction of this flow will vary drastically from one social system to another and will have a profound impact on the motivation of people who occupy the system. In order to illustrate the dynamics of information and resource flow, we will specifically focus on one aspect of social systems, namely, the reward structure and its influence on cooperation and competition in the system.

John Von Neumann and Oskar Morgenstern discuss the influence of reward structures on cooperative and competitive behavior in a social system by describing a hypothetical dilemma that confronts two men who have been arrested as criminal suspects.[11] They have been placed in two different cells and are not allowed to communicate with one another. One at a time, each prisoner is presented with two options: to confess or not to confess. The decision made by prisoner A will have consequences that are in part dependent on the decisions made by prisoner B — and vice versa — as illustrated in Table One.

TABLE ONE
PAYOFF MATRIX FOR THE PRISONER'S DILEMMA

		Prisoner B	
		Not Confess	Confess
Prisoner A	Not Confess	1 yr. for A 1 yr. for B	20 yrs. for A 6 months for B
	Confess	6 months for A 20 yrs. for B	8 yrs. for A 8 yrs. for B

If prisoner A confesses and prisoner B does not confess, then prisoner A will get only six months in prison for turning state's evidence. If both A and B confess, then both will receive a term of eight years. On the other hand, if A does not confess, then he will receive only one year on a lesser charge, if B also does not confess. If B does turn state's evidence and confess then A will be fully charged for the crime, receiving a twenty year prison term. The dilemma for A is profound: mutual non-confession would be of benefit to both prisoners, yet each prisoner can obtain even greater benefit by assuming cooperate behavior on the part of the other prisoner and then confessing. However, the other prisoner can be expected to consider the same option. Consequently, most players in this game will confess in order to avoid the twenty-year term.

This particular condition is called a "non-zero-sum" game, for the two participants can cooperatively choose a course of action which, in relative terms, will benefit both participants. A "zero-sum" game is one in which any choice will inevitably benefit one player at the expense of the other player (as is the case in most competitive sports). The non-zero-sum game is in many ways much more destructive than zero-sum and can actually lead to much more competitive behavior. Non-zero-sum requires an initial level of trust if cooperative behavior is to be an appropriate response. This level of trust is rarely present in new social systems; hence competitive behavior is anticipated. The non-zero-sum payoff matrix (Table One) makes the anticipation of competition a "self-fulfilling prophecy"; consequently, competition is witnessed, which leads to further reductions in the trust level and further increases in the tendency toward competition. Unlike the zero-sum systems, in which there is no rational option other than competition, the non-zero-sum system will tend to produce "face saving" behavior and extensive rationalization concerning one's reasons for engaging in competitive behavior. Thus, even if communication channels are open, once the cycle of mistrust and competition has begun, the information that is conveyed will tend to be meaningless with reference to the resolution of conflict.[a]

The prisoner's dilemma is often called a "mixed motive" game, for it places in conflict the rewards that come with both cooperation and competition. The motives associated with this type of reward structure are, in fact, even more profoundly mixed, for a variety of other needs soon become wrapped up in the negative spiral of mistrust, competition, distorted communication, face-saving and rationalization. Both task and process needs are blocked. Typically, even the basic security needs associated with holding a job are challenged in systems which perpetuate this type of reward structure.

When one examines the reward structures that typify collegiate institutions, the dilemma of our two prisoners does not seem remote. During the past decade, for instance, only a limited number of tenured positions are available in most colleges and universities for untenured faculty. Typically, these untenured faculty are being considered on a comparative rather than absolute basis. Thus, the relative success of one untenured faculty member is, in part, contingent on the relative failure of another untenured faculty member. This condition is understandable and probably unavoidable. A zero-sum game best identifies this condition as we have described it so far. The system gets much more complex, however, and yields a much more destructive non-zero-sum game, when other factors are considered.

Untenured faculty are encouraged to work together on committees, in department meetings and even in the same classroom. This cooperation is quite understandable and, once again, unavoidable. However, the untenured faculty are in this manner placed in a "mixed motive"/"non-zero-sum" game. The untenured faculty are frequently encouraged, through faculty development programs, to work closely together in the improvement of their instructional skills or in the creation of a supportive environment for continuing professional growth. While each of these cooperative efforts might improve the professional performance of the untenured faculty member and can ultimately improve the teaching-learning process at the institution, each creates a dilemma for the untenured faculty member: should he join with his untenured colleagues in mutual efforts at improvement, thus accelerating his own professional growth, the growth of his colleagues and the development of his institution, or should he work independently for his own personal career advancement, perhaps at the expense of others and, ultimately, of his institution? The answer to this question is not as simple as it might at first appear, for the more the collaborative activities of one untenured faculty member improve the performance of other untenured faculty, the more they become increasing threats to his own tenure possibilities.

One can design social systems that do not *depend* on trust for cooperation to be rewarded. These systems *create* conditions in which trust is a reasonable expectation. Trust is never considered the goal of these social systems but rather the by-product of effective design and implementation of this system. Conversely, mistrust can be considered symptomatic of profound system problems, possibly reflecting the presence of non-zero-sum reward structures. While in the example described above, there may not be any immediate solution to the dilemma of the untenured faculty member, it is essential that people who work with this individual and who try to understand the motives that influence his behavior be aware of the nature and often painful implications of the dilemma.

By simply increasing the level of trust in a social system one has not necessarily ameliorated the underlying causes of "justifiable" mistrust. Meaningful system change should follow an explicit set of guidelines. While social system theorists are certainly not in agreement as to what these guidelines should be, several ingredients are often identified.[35] First an effective and supportive work environment will be one in which work is judged against the accomplishment of specific goals that have been at least in part determined by and certainly acknowledged by all members of the system. Second, form will follow function in a successful system. The problem, task or project will determine how the human resources are organized. Precedents will be considered as useful information rather than as imperatives. Third, decisions in an effective social system will be made near the primary sources of information, regardless of the location of this source on a formal organization chart. Those who know should decide. Fourth, rewards will be given out not only for short-term gains or the achievement of certain performance standards (task goals) but also for the growth and development of subordinates and for the creation of a viable work group (process goals).

Fifth, communication laterally and vertically in the effectively-working system will be relatively undisturbed. People will generally be open and confronting. They will share all relevant facts, including feelings, and will feel neither rewarded nor punished for this activity. Sixth, there will be a minimum amount of inappropriate win-lose (zero-sum) activities between individuals or groups and even fewer non-zero-sum activities. Constant efforts will exist at all levels of the system to treat conflict as a problem which is to be solved rather than savored. Seventh, conflicts around tasks and projects should be expected, as expressed in a clash of ideas. Relatively little energy, however, will be expended in clashes over interpersonal difficulties, because these difficulties have been anticipated and worked through at an early stage. The system will be open to information flow between all parts of the system and between this system and other systems. Ninth, the uniqueness of each person (and unit) in the system will be acknowledged and valued, as will the interdependence of these people (and units) in the system. A managerial system will be designed to support this value. Finally, the system will be self-correcting and self-renewing.[36] It is a system which learns from its mistakes."

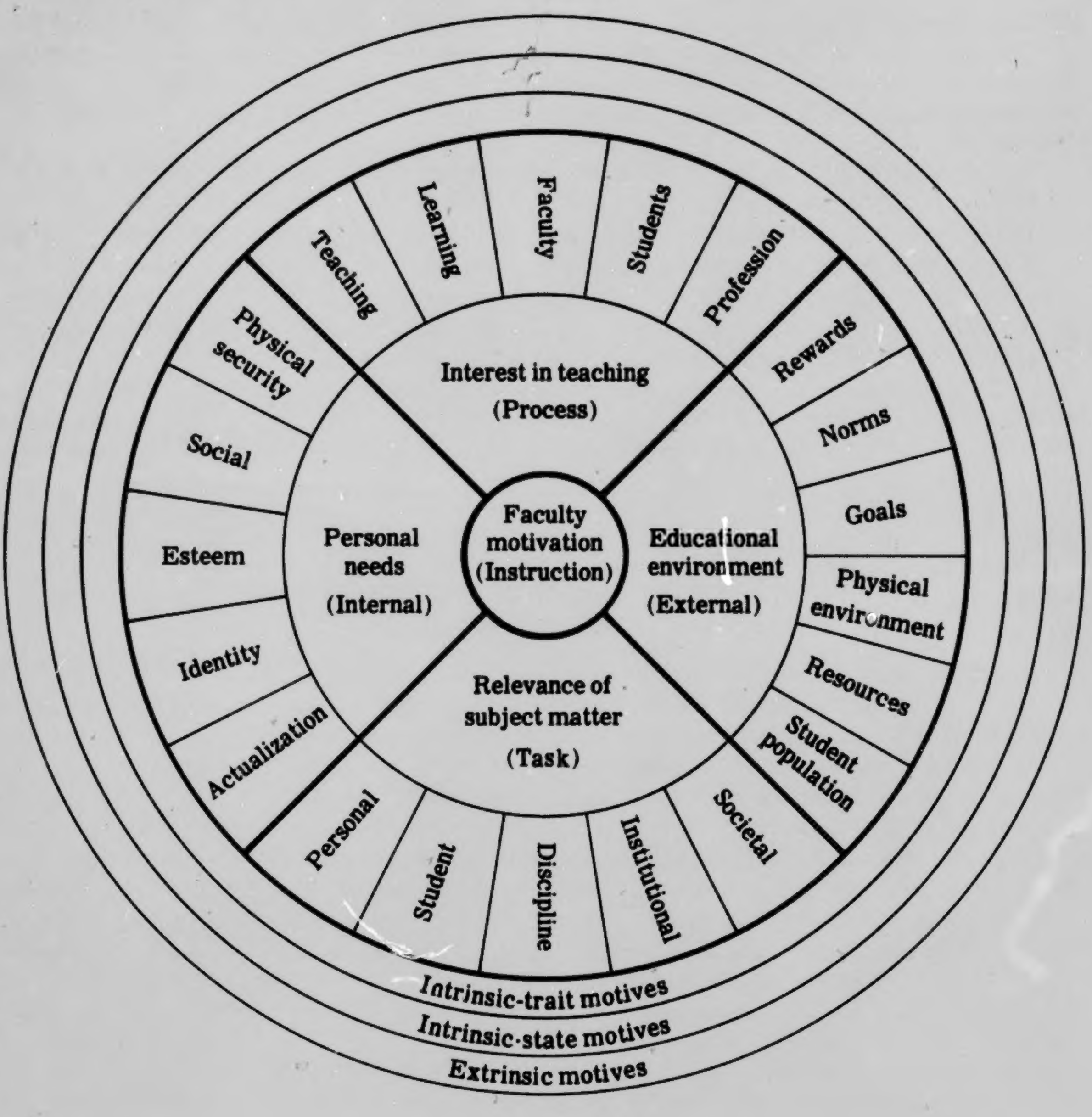
D. A Preliminary Model of Faculty Motivation

We have attempted in the first three sections of this chapter to review a selected group of theories that relate to the issue of faculty motivation. We have chosen theories that are either central to the field of motivation or offer an interesting and potentially fertile alternate perspective on the factors that contribute to our understanding of faculty motivation. We will conclude this chapter by briefly describing a highly tentative model of faculty motivation, which is presented graphically in Figure Two.

The inside circle on Figure Two might be considered the summation of various motivating forces that impinge on the faculty at any one moment in time. In the first ring around this inner circle, four categories of faculty motivation are identified which are specifically concerned with instruction. The first category is labeled "Interest in Teaching." The faculty member feels that teaching or learning is inherently interesting. He might also enjoy contact with students and may find that college teaching provides an opportunity for extensive and enjoyable relationships with other people in an academic setting. He might also enjoy teaching as a profession — its esteem, autonomy, financial security and so forth. This source of motivation derives primarily from the processes of instruction, rather than from the content of this instruction. The faculty member who derives primary gratification from this source enjoys teaching regardless of discipline or institution.

The second motivational category relates to the task rather than the process of teaching — that is to the subject matter that is being taught. The faculty member enjoys teaching because he finds the subject matter to be relevant to one or more valued populations: (a) himself, (b) his students, (c) his discipline, (d) his institution or (e) society. The subject matter may be immediately relevant

Figure Two


Faculty motivation (Instruction)
Interest in teaching (Process)
Educational environment (External)
Relevance of subject matter (Task)
Personal needs (Internal)
Teaching
Learning
Faculty
Students
Profession
Rewards
Norms
Goals
Physical environment
Resources
Student population
Societal
Institutional
Discipline
Student
Personal
Actualization
Identity
Esteem
Social
Physical security
Intrinsic-trait motives
Intrinsic-state motives
Extrinsic motives

A TENTATIVE MODEL OF FACULTY MOTIVATION

or it may be assumed by the faculty member to be relevant over a long period of time. A faculty member who is primarily motivated to teach as a result of interest in the subject matter will tend to vary in his level of interest and enthusiasm depending on what he is teaching, whereas the faculty member who is primarily motivated by an interest in teaching will tend to vary in level of interest depending on how he is teaching.

The third category of faculty motivation is labeled "Personal Needs." The profession of teaching directly meets a series of needs that are immediately associated with either the task or the process of teaching. These needs tend to be associated with intrinsic sources of motivation (such as needs for security, affiliation, esteem, identity and self-actualization). The faculty member who is dominated by this source of motives will tend neither to be task-oriented nor process-oriented but will instead be self-oriented.[38]

The fourth category of faculty motivation encompasses a variety of factors that make up the "Educational Environment" in which the faculty member works. These environmental factors are considered either compatible or incompatible with his goals or methods of instruction. Some sources of compatibility and incompatibility are: (1) institutional or departmental rewards, (2) institutional or departmental norms, (3) institutional or departmental goals, (4) physical setting of the classroom or office, (5) institutional resources and (6) characteristics of the student population. The faculty member who is dominated by these motivational sources will tend toward the role of "organization man," "politician" or "revolutionary." The structures and processes of the organization will tend to dominate his interests as a college teacher. He will tend to teach primarily out of a love/hate preoccupation with the operations of a specific institution, or higher education in general. This category is closely related to the extrinsic sources of motivation.

The third, fourth and fifth rings of this motivational diagram represent the three different general sources of human motivation that we have examined in this chapter. We propose that the faculty-specific motivational factors that are identified in the inner ring are, in fact, vehicles for the expression of more basic human motives that are not specific to any occupational group. Though the personal and environmental motives in the inner ring are probably more immediately linked to these general human motives than are the other two categories (interest in teaching and in subject matter), these latter categories cannot be considered in isolation from more general sources of motivation.

The three outer rings are also closely linked with one another. The intrinsic-state and trait motives act as screens or filters for the extrinsically-derived motives. Pressures from the environment will have no impact on a faculty member if they are not in some sense related to his development tasks and personal needs. Similarly, the intrinsic-state motives are screened or filtered by the trait motives, for if the developmental tasks do not directly relate to major and long-term needs of the faculty member, then they will not be performed. Growth and development are too painful for anyone to seek to achieve them persistently, unless they are closely tied to major personal needs and goals.

In a comparable fashion, the motives which are specifically associated with the instructional performance of faculty (inner ring) will link with only a sub-set of the more general motives (outer rings) which engage faculty. The general motives which are not associated with the faculty member's work might be central to other aspects of the faculty member's life or may remain unexpressed.

In summary, an adequate study of faculty motivation, or an effective faculty development program which purports to be sensitive to the motives of faculty, must address each of these complex motivational dimensions, as well as the interaction between them. A more detailed model is certainly called for once we have obtained more information about faculty motivation. This preliminary model will hopefully prepare the way for the collection of such information.

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INSTRUMENT NUMBER ONE

TITLE: The Professional Development Questionnaire

SOURCE: Jack Lindquist and Robert Guerrin, Strategies for Change and Knowledge Utilization Project, Saratoga Springs, New York

GENERAL DESCRIPTION: The Professional Development Questionnaire is designed to survey faculty backgrounds, educational objectives, teaching approaches, awareness and use of teaching innovations, professional development objectives and sense of institutional support for professional development. It offers a wide range of relevant data for assessing institutional needs in the areas of teaching improvement and professional development.

The instrument was designed, piloted and revised on two occasions. It was given initially to faculty at six liberal arts colleges and two universities across the country. Statistical reliability and validity have not been tested. The questionnaire includes items from other instruments, particularly the Lipsett and Ladd surveys of faculty attitudes. The items on teaching/learning practices are the same as those asked students in the "Experience of College Questionnaire," which is available from Arthur Chickering at Empire State College, Saratoga Springs, New York.

INSTRUCTIONS FOR USE: The Professional Development Questionnaire provides a broad look at the nature of the faculty, their teaching practices and their developmental interests. It can be used longitudinally to examine changes in faculty practices and developmental needs. A useful diagnostic exercise on teaching goals and practices involves the following steps:

1. Summarize percentage responses to the items on educational goals and teaching/learning practices.
2. In a workshop setting including both faculty and students, divide the total group into teams of four to six participants, each with a leader who is familiar with the data and skilled in group process. Include at least one student in each team.
3. Ask each team to study the data and discuss its accuracy with reference to their own experiences in the institution. Each team should address the following question: "What needs to be done in order to improve teaching and learning in our institution?" Ask each team to select a recorder to report the team's answer in one hour.
4. Have each recorder report on the team's efforts. Allow other participants only to ask points of clarification until all reports are completed. When the reports are through, ask again: "What needs to be done to improve teaching and learning in our institution?" Comment on themes and communalities that emerge from the reports and following discussion. Record major themes on newsprint or a blackboard. Seek consensus on a few high-priority goals.
5. Assign small groups the task of generating alternative plans to accomplish these high priority goals.

PROFESSIONAL DEVELOPMENT QUESTIONNAIRE

This questionnaire is designed to record responses to a wide range of interests and concerns of faculty members. Won't you take some time right now — before setting it aside — to fill it out? It won't take very long and you might find it of interest. We welcome your comments in addition to the responses called for. All responses are completely confidential.

Questions are answered by writing the number of the appropriate response in the space provided by each item. Please answer all questions. If you wish to modify or explain an answer, use any available space.

A. PROFESSIONAL OBJECTIVES

Academic persons must make decisions about various kinds of objectives they may hold. On the left side of the page, indicate how important each objective is to you personally by placing the number of the most suitable option on the line opposite each statement. On the right side, rank each of the objectives according to its importance to you. Give a rank of "1" to the one you judge to be the most important, "2" to the next, and so on, giving a rank of "8" to the least important.

Importance	*Rank*
(1) Not important to me	1 — Highest
(2) Somewhat important to me	. . .
(3) Quite important to me	. . .
(4) Extremely important to me	8 — Lowest

_____ a. To prepare students for careers _____
_____ b. To develop students' intellectual skills _____
_____ c. To help students clarify their purposes, understand themselves and relate to others _____
_____ d. To further your own scholarship and research _____
_____ e. To help improve your institution through committee work and other means _____
_____ f. To help improve your community or society through consulting, writing or other means _____
_____ g. To provide students breadth of liberal education _____
_____ h. To prepare students in an academic concentration _____

B. ABILITY TO PURSUE PROFESSIONAL GOALS

Indicate the extent to which each of the conditions, situations or groups below help or hinder your ability to achieve your own goals for professional development. In each case give the number of the appropriate category, as follows:

(1) Very serious constraint
(2) Some problem
(3) Not an important factor
(4) Some help
(5) A great deal of help

____ a. Amount of personal and professional autonomy
____ b. Amount of administrative backing
____ c. Amount of time free of other demands
____ d. Amount of funds available to support development needs, materials or implementation
____ e. Attitudes and judgments of colleagues
____ f. Degree of support by external administrative or policy making groups (legislative, trustees) and so forth
____ g. Amount of personal ability to persuade colleagues and administration
____ h. Amount of student support for my development objectives

C. INTERACTION WITH STUDENTS

Consider the contacts you have had with students in the *last two weeks*. Count only those conversations of five minutes or more that occurred outside of a class meeting or scheduled independent study or tutorial conference. How many such meetings have you had dealing with each of the following topics? Use the number of one of the following categories in each case:

(1) none
(2) 1 - 5
(3) 6 - 10
(4) 11 - 15
(5) 16 or more

____ a. Formal academic arrangements: to give information or advice about the student's academic program
____ b. Career considerations: questions, ideas, problems concerning the student's future educational or career plans
____ c. Personal problems: to help resolve issues and problems of concern in the student's personal life
____ d. Intellectual or academic issues: to discuss intellectual issues in your own field or more general intellectual or academic issues
____ e. Campus events: to discuss campus activities, issues or problems
____ f. Informal socializing: to chat or have other general conversations either light or serious

D. TEACHING ROLE

The information sought in this section refers to a specific course which you are currently teaching. The "course" may be a large lecture, independent study, tutorial, seminar or so forth. In order to insure a representative cross section of teaching activities, please report in this section in terms of the course that occurs next after the time checked below. Please answer this section in terms of that course even if you feel it is not truly representative of your usual or preferred teaching.

7:50 A.M. Monday _____ 9:50 A.M. Tuesday _____ 11:50 A.M. Wednesday _____
1:50 P.M. Thursday _____ 10:50 A.M. Friday _____

The *name of the course* that you teach next after the time checked above is:

____

_____1. Type of course
(1) Class (2) Independent study (3) Tutorial (4) Other

_____2. Approximately how many students are enrolled in this course:
(1) 1-5 (2) 6-10 (3) 11-25 (4) 26-40 (5) 41-55 (6) 56-70 (7) 70+

_____3. To what extent does each of the following statements reflect your primary role as a teacher in this course. Use the following scale to rate each statement:

(1) Hardly or not at all
(2) To a minor extent
(3) To a moderate extent
(4) To a considerable extent
(5) Entirely or nearly entirely

_____a. Assign work, provide information which it is the student's job to master
_____b. Direct effort flexibly in order to help students learn
_____c. Work together with students as both you and they increase your understanding of the subject
_____d. Serve mainly as a resource for students, while students have principal responsibility for making and carrying out their own plans

_____4. In some courses content and procedures are clearly specified by the instructor, and students have little or no influence on the decisions; in other courses students influence in varying degrees the content of study and class procedures. How much do students ordinarily influence content and procedures in this course?

(1) Not at all
(2) In some respects within a specified clear structure
(3) In fairly important respects within a specified general structure
(4) In major aspects of content or procedure

5. Rank the following in terms of their importance to you toward increasing students' learning capabilities in this course. Assign rank of "1" to the most important and "4" to the least important.

_____a. Set clear standards for student performance and carefully evaluate progress and achievement
_____b. Try to identify and reduce problems that impede the ability of students to learn
_____c. By own example, help students develop enthusiasm for the subject matter
_____d. Work to develop a relationship of mutual trust and respect

6. Different courses and classes call forth different activities during class meetings and different mental activities in study. For the two clusters which follow, indicate the percent of time you expect students in your courses to spend by writing the number of the most suitable option in the space opposite each activity. (Since activities can overlap, percents need not add to 100).

(1) 5% or less	(3) 26% to 50%	(5) 76% or more
(2) 6% to 25%	(4) 51% to 75%	

a. What percent of time do you ordinarily expect students to spend on the following activities in studying for this course?

_____ 1) Memorizing: learning specific things, words, ideas, methods

_____ 2) Analyzing, Interpreting, Synthesizing: mentally putting things in different terms, reorganizing, making inferences, detecting relationships between parts, deriving principles from data

_____ 3) Evaluating: making judgments about the value of materials (concepts, evidence, theories, arguments, communications) and methods

_____ 4) Applying: drawing upon a variety of concepts and applying them to new situations or problems

b. What percent of class meeting time is spent by students on the following activities?

_____ 1) Listening to what is being said, primarily in order to remember, including taking notes

_____ 2) Thinking about the ideas presented: analyzing, thinking of implications, checking for soundness, mentally criticizing

_____ 3) Actively working at desk problems or lab tasks

_____ 4) Participating in discussion, making statements to the class, speeches, formal presentations

7. **Below are a variety of teaching approaches you may have applied to this course. Please indicate on the left whether or not you are using the approach in this course. Write a "1" for those you are using and a "2" for those you are not. On the right side indicate your general experience with each technique by using the following categories:**

Use in this Course	*History of Use*
1 — Yes	(1) Have not used at all
2 — No	(2) Using for the first time this year
	(3) Have used before or in other courses

____ a. Have students do field work ____

____ b. Rely primarily on lectures, reading assignments ____

____ c. Frequently meet with students outside class ____

____ d. Allow students to do at least part of the work as independent study ____

____ e. Use small group techniques to increase student interaction ____

____ f. Employ the normal grading curve in evaluation ____

____ g. Team teach the course ____

____ h. Rely on audio-visual materials ____

____ i. Use programmed or computer-assisted instruction ____

____ j. Use closed circuit television ____

____ k. Use seminar/discussion forms of interaction ____

____ l. Break the course into short learning modules ____

____ m. Attempt to make material relevant to student interests ____

____ n. Focus on current social problems ____

____ o. Set objectives and evaluate student performance against standards of competency instead of the class curve ____

____ p. Employ group process or individual counseling techniques to help students heighten self-awareness and self-confidence ____

____ q. Incorporate material or resource persons from outside my field ____

____ r. Use student evaluations and feedback during the course to improve the learning experience ____

____ s. Involve students in deciding learning content, activities and evaluation ____

END OF QUESTIONS PERTAINING TO THIS SPECIFIC COURSE

E. TIME EXPENDITURE

Faculty members have a wide range of professional duties and responsibilities. Consider the following list of possible activities in which you may routinely participate as a faculty member.

1. On the lines on this side, indicate how many hours you spend in that activity in a *usual week*. Do not count occasional or infrequent activities (such as preparing final exams) but think of those things which constitute your usual activities most weeks during a semester. Give your best estimate of the total number of hours a week you spend on each activity.

2. Faculty members often find themselves spending more time on some activities and less on others. On this side indicate how much time you would *like* to spend on each activity in comparison to the amount you do ordinarily spend each week. Give the number of the appropriate category:

For each activity I would *prefer* to spend

(1) Considerably less time than this
(2) Somewhat less time than this
(3) About the same amount of time as this
(4) Somewhat more time than this
(5) Considerably more time than this

Hours spent			*Preferred time*
_____	a.	*Group instruction:* teaching in the classroom or in other group situations, including lectures, seminars, laboratories, studios, field visits and so forth	_____
_____	b.	*Individualized instruction:* assisting and coordinating independent studies, reading courses, tutorials, learning contracts and the like	_____
_____	c.	*Preparation for instruction:* preparing lectures, demonstrations, experiments, outlines, supervising assistants	_____
_____	d.	*Evaluation of students:* preparing and scoring quizzes, reading student papers and reports, oral evaluations, writing evaluations	_____
_____	e.	*Advising students:* discussing programs or career plans, counseling or helping resolve personal problems	_____
_____	f.	*Informal student contact:* socializing or informally discussing intellectual issues, social problems, campus affairs	_____
_____	g.	*Professional development:* keeping up in my field, learning new research, teaching, advising or committee skills	_____
_____	h.	*Research and scholarship:* preparing and writing articles, books, reviews or creative works, conducting scholarly research	_____
_____	i.	*College or University service:* Attending or preparing for committee or group meetings, departmental or college-wide	_____
_____	j.	*Public service:* professional activities outside the institution, such as consulting, holding office in professional societies, editing journals	_____

F. REWARDS

Faculty members engage in a number of different professional activities. Rewards for successful performance of activities may vary and the rewards may also be of different kinds. One may be rewarded by a sense of personal satisfaction for some achievements. One's colleagues or institution may recognize achievement more formally by awarding tenure, promotion or salary increases. Considering both kinds of rewards, rate what you feel to be the importance of each of the following areas of professional activity. In each case rate importance on the following scale:

(1) Not important
(2) Somewhat important
(3) Quite important
(4) Extremely important

If you have made substantial achievements in each of the following areas, how important do you feel your achievements would be:

1. In decisions involving the award of tenure, promotion or salary increase at your institution?

2. In providing you with a sense of personal satisfaction and gratification?

____ a. Publishing professional works ____

____ b. Being a demanding and challenging teacher ____

____ c. Participating in departmental and institution-wide governance affairs ____

____ d. Exercising innovativeness in teaching ____

____ e. Being a knowledgeable, conscientious and sensitive advisor ____

____ f. Participating as consultant, scholar, and leader beyond the institution ____

G. INSTITUTIONAL INNOVATION

____1. To what extent do you feel your institution has been involved in innovative changes in undergraduate curriculum, teaching or evaluation in the last five years?

(1) Very little or not at all
(2) Less than most institutions
(3) About the same as most institutions
(4) Somewhat more than most institutions
(5) Considerably more than most institutions

2. How would you rate the general orientation of the following groups to experiments whose purpose is to improve curriculum, teaching or evaluation? Choose the most appropriate of the following categories for each group.

(1) Actively discourage and resist experimentation
(2) Generally reluctant to experiment
(3) Neutral; support might go either way depending on the program
(4) Generally supportive
(5) Actively support and encourage experimentation

____ a. The administration
____ b. The faculty
____ c. The students

d. The trustees ____
e. Accrediting agencies ____
f. Funding sources other than students ____

3. Below are several areas of possible institutional concern. How much improvement has occurred and how much should occur in each of these at your institution? On the left, rate the degree to which improvement has been made over the last five years. On the right, indicate the degree of improvement that needs to occur in the near future. Use the following scale to rate the amount of improvement that has occurred or needs to occur.

(1) None or little
(2) A minor amount
(3) A moderate amount
(4) A major amount

Has occurred in last five years			*Needs to occur soon*
____	a.	Preparing students for careers	____
____	b.	Advancing scholarship and research	____
____	c.	Developing students' intellectual skills	____
____	d.	Preparing students in academic concentrations	____
____	e.	Making governance and administration more effective and efficient	____
____	f.	Helping students clarify purposes, develop self-understanding and confidence and relate effectively to others	____
____	g.	Serving local, regional or national needs	____
____	h.	Providing students breadth of learning	____

H. PROFESSIONAL DEVELOPMENT INTERESTS

Below are a number of ways you may have wished to improve on your performance as a teacher, advisor, scholar/researcher and professional contributor to your college and community. You already may be attempting some improvement in most areas. But if you had the time and resources now, in which areas would you be most interested in your own professional development? Place next to each statement the number reflecting the amount of interest you have.

(4) A great deal of interest
(3) Moderate interest
(2) Minor interest
(1) Very little or no interest at this time

____ a. Refine and improve my current teaching style

____ b. Attempt to improve my ability as an advisor of students

____ c. Strengthen my knowledge, skill and productivity in my academic field

____ d. Introduce changes in course content and teaching approach to make the educational process more responsive to student learning needs and interests

____ e. Improve the standards and accuracy of my approach to evaluating students

____ f. Improve my skills as a committee member

____ g. Attempt to broaden my knowledge outside my discipline

____ h. Develop new courses and programs

____ i. Strengthen my consulting, writing or other skills related to community service

____ j. Seek to learn about and try teaching innovations

____ k. Improve my research skills

____ l. Improve my administrative knowledge and skills

I. BACKGROUND AND GENERAL INFORMATION

Please write the number of the most suitable option in the space beside the number of the question.

___ 1. What is your present age?
(1) under 25 (2) 25-29 (3) 30-34 (4) 35-39 (5) 40-44
(6) 45-49 (7) 50-54 (8) 55-59 (9) 60 or over

___ 2. What is your sex?
(1) Male (2) Female

___ 3. What kind of academic appointment do you have?
(1) Full time with tenure (2) Full time without tenure
(3) Part time with tenure (4) Part time without tenure
(5) Other

___ 4. Do you have a part time administrative appointment?
(1) Yes (2) No

___ 5. Are you currently the head of an academic department or academic division?
(1) Yes (2) No

___ 6. What is your present rank?
(1) Instructor (2) Assistant Professor (3) Associate Professor
(4) Full Professor (5) Other

___ 7. For how many years have you held an academic appointment at this institution?
(1) 1 or less (2) 2-3 (3) 4-6 (4) 7-9 (5) 10 or more

___ 8. For how many years in all have you held an academic appointment in post-secondary institutions including this one? (Do not count graduate and research assistantships.)
(1) 1 or less (2) 2-3 (3) 4-6 (4) 7-9 (5) 10 or more

___ 9. At how many post-secondary institutions (including this one) have you held an academic appointment?
(1) 1 (2) 2 (3) 3 (4) 4 (5) 5 or more

___ 10. What is the highest earned degree you hold?
(1) Undergraduate Bachelor's or less (2) Master's (3) Ph.D.
(4) Other

___ 11. How many professional journals in or related to your academic field of interest do you read? (Include all those that you receive or refer to on a regular basis.)
(1) 0 (2) 1-2 (3) 3-4 (4) 5-10 (5) 11-20 (6) More than 20

___ 12. Write in the name of the school from which you received your highest degree
____

___ 13. In what academic department is your current appointment?
____

_____ 14. How many regional or national conventions of your discipline have you attended in the past two years?
(1) 0 (2) 1 (3) 2 (4) 3 (5) 4 (6) 5 or more

_____ 15. How many professional writings of any kind have you had published or accepted for publication in the past two years?
(1) 0 (2) 1 (3) 2 (4) 3 (5) 4 (6) 5 or more

_____ 16. Are you currently engaged in any scholarly or research works which you expect will lead to publication?
(1) Yes (2) No

_____ 17. Do your interests lie primarily in teaching or research?
(1) Very heavily in research
(2) Both, but leaning to research
(3) Both, but leaning to teaching
(4) Very heavily in teaching

_____ 18. How many awards have you received in recognition of your scholarship or research in the last five years? (Count only those received as a faculty member.)
(1) 0 (2) 1 (3) 2 (4) 3 (5) 4 or more

_____ 19. How many awards have you received in recognition of your teaching in the last five years? (Count only those received as a faculty member.)
(1) 0 (2) 1 (3) 2 (4) 3 (5) 4 or more

_____ 20. How many journals do you receive or read regularly that deal with higher education in general or with teaching or teaching aids or methods?
(1) 0 (2) 1-2 (3) 3-4 (4) 5-10 (5) 11-20 (6) More than 20

_____ 21. How many regional or national conventions devoted to issues of teaching, learning or higher education have you attended in the past two years?
(1) 0 (2) 1 (3) 2 (4) 3 (5) 4 (6) 5 or more

_____ 22. How many hours a week do you usually spend in the classroom teaching?
(1) 4 or less (2) 5-8 (3) 9-12 (4) 13-16 (5) 17 or more

_____ 23. Of how many governance committees — departmental, school or institutional — are you now a member?
(1) 0 (2) 1 (3) 2 (4) 3 (5) 4 or more

_____ 24. With which of the following groups do you have the strongest identity or sense of belonging?
(1) My academic department or division
(2) My discipline generally
(3) My institution
(4) My students
(5) A special interest group across departmental lines
Please name: ______________________________

Many thanks for the time and thought you have just given the subject of professional development.

We welcome your comments.

INSTRUMENT NUMBER TWO

TITLE: The Faculty Questionnaire

SOURCE: Jerry G. Gaff, Project on Institutional Renewal through the Improvement of Teaching, Washington, D.C.

GENERAL DESCRIPTION: The Faculty Questionnaire was devised for use in the Project on Institutional Renewal through the Improvement of Teaching as a means for helping teams from each campus learn about the experiences, views and perceptions of large numbers of their faculty colleagues. It was also designed to provide information for use in future evaluations of the project. The Faculty Questionnaire draws heavily on earlier instruments. Some items were specifically devised for this questionnaire, others were adapted and still others were borrowed intact. The greatest legacy is to the "Faculty Characteristics Questionnaire," which was developed by Robert C. Wilson, Jerry G. Gaff, Evelyn R. Dienst, Lynn Wood and James L. Bavry, whose findings were discussed in *College Professors and Their Impact on Students* (New York: John Wiley and Sons, 1975).

Item four on teaching styles was constructed from a synthesis of research done on teaching and learning styles, including the "Student Orientations Survey" devised by Barry R. Morstain at the University of Delaware, Richard Mann and his colleagues at the University of Michigan (reported in the *The College Classroom* [New York: John Wiley and Sons, 1970]), and the "Student Learning Styles Questionnaire" created by Anthony Grasha and Sheryl Riechmann while both were at the University of Cincinnati.

The perceptual qualities in item twelve were based in part on the "Institutional Functioning Inventory" developed by John Centra, Rodney Hartnett, Richard Peterson and Robert Linn of the Educational Testing Service and the "College and University Environment Scales" developed by C. Robert Pace, University of California, Los Angeles.

Other sources consulted were "The Professional Development Questionnaire" prepared for the Strategies for Change Project (see Instrument Number One), the "Faculty Questionnaire" prepared under the leadership of Martin Trow, University of California, Berkeley for the Carnegie Commission on Higher Education, and the "Faculty Questionnaire" devised by Joseph Katz and his colleagues at the State University of New York, Stony Brook.

INSTRUCTIONS FOR USE: The Faculty Questionnaire should be used in much the same way as the Professional Development Questionnaire (Instrument Number One), though the two instruments generate information that is substantially different from one another. The data from the Faculty Questionnaire can be used for planning processes or as a baseline for the evaluation of a program's impact.

FACULTY QUESTIONNAIRE

A. In their course plans, assignments and examinations, faculty members emphasize different kinds of learning for their students. Although each of the following kinds of learning may be important, please indicate the amount of emphasis you usually place on helping students learn to:

	Little 1	Some 2	Much 3	Great 4
1. Master facts, terms and other specific information	____	____	____	____
2. Comprehend principles or generalizations	____	____	____	____
3. Critically analyze ideas or issues	____	____	____	____
4. Think in original or creative ways	____	____	____	____
5. Understand methods, tools or procedures	____	____	____	____
6. Relate subject matter to other courses and fields of study	____	____	____	____
7. Relate subject matter to social issues or problems	____	____	____	____
8. Relate subject matter to their own lives	____	____	____	____
9. Examine the value implication of factual material	____	____	____	____
10. Express ideas and views clearly	____	____	____	____
11. Acquire skills or techniques, *e.g.*, play an instrument, use a brush	____	____	____	____

B. What proportion of the student body of your institution would you estimate to be:

	Very few (0-20%) 1	Less than half (20-40%) 2	About half (50%) 3	Over half (60-80%) 4	Almost all (90-100%) 5
1. Seriously interested in academic affairs.	____	____	____	____	____
2. Seriously interested in close relationships with faculty members beyond the classroom.	____	____	____	____	____

C. What proportion of faculty in your institution would you estimate to be:

	Very few (0-10%) 1	Less than half (20-40%) 2	About half (50%) 3	Over half (60-80%) 4	Almost all (90-100%) 5
1. Genuinely interested in the academic progress of students.	____	____	____	____	____
2. Genuinely interested in the development of students beyond the classroom.	____	____	____	____	____

D. **Below are several different styles of teaching. For each one indicate the extent to which it is descriptive of your own style.**

	Not at all		Moderately		Very
	1	2	3	4	5
1. I simply try to cover the material in the course thoroughly and accurately, and I expect that students will learn it to the best of their ability. It is the teacher's responsibility to present the material and the student's responsibility to learn it.	___	___	___	___	___
2. I challenge students intellectually, help them grasp the meaning, understand the complexity and see the relevance of the subject matter.	___	___	___	___	___
3. I actively encourage students to work independently, set their own learning goals — even when they differ from mine — and pursue issues they think are important. I play the role of a resource person for them.	___	___	___	___	___
4. I make it clear to students exactly what will be expected of them, present material in a well organized way and let them know precisely what they need to study to get a good grade.	___	___	___	___	___
5. Many students seem not to be interested in learning, and I try to stimulate their interest by using stories, examples, anecdotes or humor. You might even say I am a little like a "ham actor."	___	___	___	___	___
6. I encourage students to work collaboratively, to share their views and experiences, work together and learn from each other. I serve largely as a group facilitator.	___	___	___	___	___
7. I give tests and quizzes to motivate students and let them know how well they know the material. I find such examinations aids their learning.	___	___	___	___	___
8. I take a special interest in individual students and go out of my way to let each person know that he is important. In many ways I act like a counsellor to students.	___	___	___	___	___
9. I try to reach students by selecting and emphasizing subject matter content that clearly has practical utility for their careers or educational futures.	___	___	___	___	___
10. I consciously try to be a model for students, conveying something of my own interests and concerns and letting them observe a thinking person at work.	___	___	___	___	___

E. We are interested in the overall climate at your institution in regard to teaching. Would you say the climate is more or less favorable to the improvement of teaching than it was three years ago?

____ 1. Much less favorable
____ 2. Somewhat less favorable
____ 3. About the same
____ 4. Somewhat more favorable
____ 5. Much more favorable
____ 6. Was not here then

What are the major reasons for any change you observe?

F. Consider the conversations you have had with students in the *last two weeks*. Count only those discussions of ten minutes or more that occurred outside of a class meeting or scheduled independent study or tutorial conference. How many such conversations have you had dealing with each of the following topics?

	None 1	1-2 2	3-5 3	6 or more 4
1. Academic advising: to give information or advice about a student's academic program	___	___	___	___
2. Career advising: to discuss questions, ideas, problems concerning a student's educational or career plans	___	___	___	___
3. Personal problems: to help resolve problems or concerns in a student's personal life	___	___	___	___
4. Intellectual or academic issues: to discuss intellectual issues in your own field or more general intellectual or academic issues	___	___	___	___
5. Campus events: to discuss campus activities, issues or problems	___	___	___	___
6. Informal socializing: to chat or have other general conversations either light or serious	___	___	___	___

G. Consider the conversations you have had with faculty colleagues in the *last two weeks*. Count only those discussions of ten minutes or more that occurred outside a formal faculty, departmental or committee meeting. How many such conversations have you had dealing with each of the following topics?

	None 1	1-2 2	3-5 3	6 or more 4
1. Campus policies or procedures: to discuss institutional or departmental issues, problems or activities	___	___	___	___
2. Intellectual matters: to consider substantive theoretical, factual or methodological issues	___	___	___	___
3. Teaching or learning: to discuss a course, teaching approaches or student interests and styles of learning	___	___	___	___
4. Social problems or issues: to examine national or international issues, problems or events	___	___	___	___
5. Community issues: to discuss activities, events or problems concerning the local community	___	___	___	___
6. Informally socializing: to chat or converse	___	___	___	___

H. Do your interests lie primarily in teaching or in research?

_____ 1. Very heavily in research
_____ 2. In both, but leaning toward research
_____ 3. In both, but leaning toward teaching
_____ 4. Very heavily in teaching

I. 1. In decisions pertaining to promotion and salary matters indicate how important each of the following criteria *is*, as you perceive it, at your institution.

	Not at all 1	Somewhat 2	Moderately 3	Quite 4	Very 5	Don't Know 6
a. Effectiveness as a teacher	___	___	___	___	___	___
b. Research and scholarship	___	___	___	___	___	___
c. School service (administrative and committee work)	___	___	___	___	___	___
d. Community service	___	___	___	___	___	___
e. Seniority	___	___	___	___	___	___
f. Other: ________________	___	___	___	___	___	___

2. In decisions pertaining to promotion and salary matters indicate how important each of the following criteria *should be* at your institution.

a. Effectiveness as a teacher	___	___	___	___	___	___
b. Research and scholarship	___	___	___	___	___	___
c. School service (administrative and committee work)	___	___	___	___	___	___
d. Community service	___	___	___	___	___	___
e. Seniority	___	___	___	___	___	___
f. Other: ________________	___	___	___	___	___	___

J. Do you think systematic and reliable *procedures* for fairly evaluating teaching effectiveness are used by your department and by this institution? Do you think such procedures should be improved?

	Are Used		Should Be Improved	
	No 1	Yes 2	No 1	Yes 2
1. My department	___	___	___	___
2. This institution	___	___	___	___

K. Some faculty members, particularly those in fields facing declining enrollments, are developing new specializations. If you were given financial assistance, would you be interested in acquiring a new specialization:

	Definitely No 1	Probably No 2	Probably Yes 3	Definitely Yes 4
1. Within your current discipline?	___	___	___	___
2. In a different discipline?	___	___	___	___
3. In an interdisciplinary area?	___	___	___	___

L. Different people perceive their institution in different ways. Please indicate, from your own perspective, whether you think the following statements describe or do not describe your institution.

	No 1	Yes 2	Don't Know 3
1. Faculty morale is generally high.	____	____	____
2. Communication between the faculty and the administration is good.	____	____	____
3. By and large, top-level administrators are providing effective educational leadership.	____	____	____
4. There have been no significant changes in the instructional program within the past five years.	____	____	____
5. There is a strong sense of community, a feeling of shared purposes and interests, on this campus.	____	____	____
6. This institution does little to help a faculty member develop as a teacher, scholar or professional.	____	____	____
7. Teaching is not highly valued by the administration.	____	____	____
8. Although they may criticize certain practices, most faculty seem to be very loyal to the institution.	____	____	____
9. Mutual respect and trust exists among the faculty.	____	____	____
10. The institution has a long range plan that is widely understood and generally accepted.	____	____	____
11. It is very difficult to make any significant change in the quality of teaching or learning here.	____	____	____
12. Department chairpersons and central administrators generally encourage faculty members to experiment with new courses or teaching methods.	____	____	____
13. Rules and regulations are numerous and rigidly applied.	____	____	____
14. Many students do not have adequate preparation for college level work.	____	____	____
15. There are adequate programs for students who need remedial assistance.	____	____	____
16. There are enrichment opportunities for especially talented students.	____	____	____
17. Relationships between faculty members and administrators tend to be equalitarian rather than hierarchical.	____	____	____
18. Opportunities for interdisciplinary teaching and learning are common.	____	____	____
19. The quality of education a student gets at this school is generally quite high.	____	____	____
20. Some faculty members do little more than meet their classes and pick up their checks.	____	____	____
21. This institution does a great deal to promote the professional development of the faculty.	____	____	____
22. For the most part, relationships with colleagues tend to be intellectually sterile.	____	____	____
23. The atmosphere here is warm and friendly.	____	____	____
24. Departmental barriers discourage serious work among faculty members in different fields.	____	____	____
25. Many students combine academic work with experiences beyond the classroom.	____	____	____

M. How many times have you engaged in the following activities during the last three months?

	Not at all 1	1-2 2	3-4 3	5 or more 4
1. Read a scholarly book in your field of specialization	___	___	___	___
2. Read a scholarly book or article outside your field of specialization	___	___	___	___
3. Read an article or book on teaching or learning	___	___	___	___
4. Participated in a vigorous discussion about the quality of education at this institution	___	___	___	___
5. Shared a class session with another faculty member	___	___	___	___
6. Had a substantive intellectual discussion with a colleague from another department	___	___	___	___
7. Had a serious conversation with a central administrator	___	___	___	___
8. Attended a department meeting in which substantive educational issues were discussed	___	___	___	___
9. Attended a committee meeting in which issues were discussed in a substantive and knowledgeable fashion	___	___	___	___
10. Tried a new technique or approach in your teaching	___	___	___	___
11. Made a major revision in a course	___	___	___	___
12. Held a candid discussion with a student about his college experiences	___	___	___	___
13. Devoted a portion of a class period to a discussion of the progress of a course	___	___	___	___

N. In the wake of Watergate, the Viet Nam War and the recession, there is discussion about the amount of confidence people have in American institutions. How much confidence do you have in institutions in general and in higher education in particular?

	Institutions in General	Higher Education
1. Very little	______	______
2. A limited amount	______	______
3. A considerable amount	______	______
4. A great deal	______	______

O. Overall, to what extent does this institution support your interests and help you realize your own career aspirations?

_____ 1. Hardly at all
_____ 2. To a limited extent
_____ 3. To a considerable extent
_____ 4. To a great extent

What are the most important ways you would like the institution to provide additional support?

P. Do you know anyone on this campus to whom you could go to obtain assistance in improving your teaching (for example, solving a problem, trying a new approach or finding out about the professional literature on a topic)?

_____ 1. No
_____ 2. Yes, one
_____ 3. Yes, two or three
_____ 4. Yes, several

Q. During your career as a professor, has anyone ever talked with you in detail about your teaching and helped you to clarify your course objectives, devise effective student evaluation or develop a more effective approach for certain kinds of students?

______ 1. No
______ 2. Yes, once or twice
______ 3. Yes, several times

R. Since coming to this institution, have you ever attended a conference or workshop concerned specifically with effective teaching and learning (either on or off campus)?

______ 1. No
______ 2. Yes, one or two
______ 3. Yes, several

S. Faculty members are frequently involved in a variety of activities. Please indicate how much satisfaction in your life is derived from each of the following.

	Little or none 1	Some 2	Much 3	Very Much 4
1. Family relationships	____	____	____	____
2. Leisure time recreational activities, hobbies, sports	____	____	____	____
3. Religious activities	____	____	____	____
4. Participation in local community affairs	____	____	____	____
5. Participation in regional or national affairs	____	____	____	____
6. Involvement in culture, literature, art, music	____	____	____	____
7. Scholarly pursuits, research, writing	____	____	____	____
8. Teaching	____	____	____	____

T. Faculty members express a range of views about their work. At this stage of your career how do you feel about the following matters?

	Disagree Strongly 1	Disagree Somewhat 2	Agree Somewhat 3	Agree Strongly 4
1. My work generally is exciting and fulfilling	____	____	____	____
2. Knowledge in my field is expanding so fast that I have fallen seriously behind	____	____	____	____
3. Teaching is not as much fun as it once was	____	____	____	____
4. I can't seem to find time to do all the things that I want to do	____	____	____	____
5. There is nobody here with whom I can share my professional interests	____	____	____	____
6. My career to date has been successful	____	____	____	____
7. I consider myself an intellectual	____	____	____	____

U. Regardless of immediate political issues, how do you usually think of yourself?

_____ 1. Democrat
_____ 2. Republican
_____ 3. Independent
_____ 4. Other

V. How would you describe your political views?

_____ 1. Conservative
_____ 2. Moderate
_____ 3. Liberal
_____ 4. Radical
_____ 5. Other

W. What is your religious affiliation?

_____ 1. Catholic
_____ 2. Jewish
_____ 3. Protestant
_____ 4. None
_____ 5. Other

X. Apart from any formal religious affiliation, how would you describe your religious views?

_____ 1. Not religious
_____ 2. Moderately religious
_____ 3. Deeply religious

Y. What do you think is the single most important change that could be made to improve the quality of education at this institution?

BIOGRAPHICAL DATA

1. Age: ____________

2. Sex:
   1.____ Female
   2.____ Male

3. Academic Rank:
   ________ a. Instructor or Lecturer
   ________ b. Assistant Professor
   ________ c. Associate Professor
   ________ d. Professor

4. Area of Specialization:
   ________ a. Humanities
   ________ b. Social Sciences
   ________ c. Natural Sciences — Mathematics
   ________ d. Professional Fields

5. Number of years working at this institution:
   ____ a. This is my first year
   ____ b. 2-4 years
   ____ c. 5-9 years
   ____ d. 10-19 years
   ____ e. 20 years or more

6. Position at this institution:
   ____ a. Part-time
   ____ b. Full-time

7. Do you have tenure?
   ____ a. No
   ____ b. Yes

8. Highest degree attained:
   ____ a. Bachelor's
   ____ b. Master's
   ____ c. Doctorate

9. Number of papers published in scholarly journals within the last five years:
   ____ a. None
   ____ b. One or two
   ____ c. Three or four
   ____ d. Five or more

Thank you very much for your time and cooperation. If you would care to make any suggestions or comments about this questionnaire, we would welcome them.

Chapter Three

Portfolio Evaluation

A great deal of information is currently available concerning the evaluation of faculty. It has been the subject of much research,[1] and numerous forms have been developed for the evaluation of teaching by students, by peers and by the instructor himself.[2] All the elements needed for a comprehensive program of faculty evaluation exist, yet usually those elements are not assembled in a coherent and systematic manner. Faculty evaluation remains perhaps *the* most sensitive area for many faculty and the evaluation process a source of constant distress for responsible administrators. Even with the best of intentions significant career decisions continue to be made on the basis of rumor, hearsay and innuendo; the faculty member remains the passive victim of a process over which he has no control.

Perhaps no approach to the evaluation of faculty will solve all of the problems inherent in this process. Difficult and demanding decisions must still be made that will affect the lives of both institutions and individuals; not everyone can get tenure. Yet the use of portfolios to assess faculty performance may offer at least a partial solution to the two major obstacles facing the evaluation of faculty: instead of a random and often haphazard process of documentation and evaluation, a portfolio provides an approach that is both systematic and comprehensive; instead of faculty as nearly passive participants in a foreign process, a portfolio evaluation actively involves the faculty member in the design and execution of his own evaluation.

The portfolio approach to faculty evaluation which will be described below may at first appear to be so detailed and even cumbersome as to be impossible of implementation; faculty, it would seem, will be doing little else but collecting information for their portfolios. In practice, this has not proved to be the case. As the process becomes routine and as faculty gain the experience and skills needed for effective documentation, portfolios have become a normal and accepted part of institutional life. For the most part, faculty appear more than willing to invest their time in an evaluation process over which they have some control. Finally, a full portfolio review need not be conducted every semester or even every year. Untenured faculty frequently face major reviews after their second or third year and again just before a tenure decision; more and more institutions are requiring three to five year reviews of tenured faculty. Carefully and slowly developed over a number of semesters, a portfolio can avoid the wasteful, disorganized — and genuinely time consuming — scramble for documentation in the months just before review. The description offered in this chapter of the use of portfolios in assessing faculty performance is meant to be a model only; it is expected — and hoped — that individual faculty, department chairpersons and administrators will modify that model to meet their own unique needs and demands.

A. The Basic Portfolio

There are three essential features to a portfolio: first, a series of categories is established which determine the areas in which evaluation will take place; second, a set of documents which indicates the quality of performance in each category is collected; third, a review committee, which works closely with the person being evaluated, is established to assist and review the entire process. It must be made clear that a portfolio is not an unstructured gathering of miscellaneous information; it is instead a structured, organized procedure which enables an individual faculty member to assume primary responsibility for determining what methods will most sensitively assess his performance.

B. The Portfolio Procedure

A portfolio process usually involves ten separate steps:

1. selection of a portfolio review committee;
2. definition of portfolio categories;
3. determination of relative weightings which each category is to receive;
4. survey of available documentary sources and precedence;
5. determination of plans and schedules for the collection of documents;
6. identification of documentary procedures;
7. review of documentary procedures by the committee;
8. collection of documents;
9. formal organization, review and approval of the portfolio; and
10. review and revision of the portfolio procedure.

Each of these steps will be briefly described.

1. Selection of Portfolio Review Committee

The review committee must be selected prior to any major decisions about the portfolio. This committee should consist of the faculty member whose performance is being assessed plus his department chairperson. In addition, it is useful if one or more of the following individuals be included on the committee as well: another faculty member of comparable status, a member of the school's tenure and promotion committee, a student, perhaps someone from outside the institution (a member of the community, a trustee, a faculty member from another institution) and a consultant to the portfolio process.

Each of these individuals will provide a unique perspective on the faculty member's performance, since each represents different types of formal and informal relationships with him. When assessment criteria are vague — and they often are in the case of faculty evaluation — these diverse viewpoints are particularly valuable. The consultant, although not directly involved in the evaluation of the faculty member, can be useful in bringing past experiences to bear on the design of the portfolio procedure. This person might either be someone involved with a faculty or professional development program or a faculty member who has used this procedure before for his own evaluation.

2. Definition or Identification of Portfolio Categories

The detailed specification of categories or areas for evaluation is essential to the effective portfolio; without such clarity the process can easily deteriorate into a haphazard, disorganized or *pro forma* procedure. Categories for evaluation can be determined in one of three ways. First, the faculty member, perhaps in consultation with the committee, can undertake an analysis of her own strengths and weaknesses. Out of this self-assessment can be developed a list of specific activities or undertakings which capitalize on her strengths; particular areas for improvement can then be identified. This tentative listing of contributions is then negotiated with the committee and, in particular, with the department chairperson, until a specific contract is developed. The basic elements or areas of responsibility in that contract then become the portfolio categories.[3]

A second way of developing categories omits a formal self-assessment and begins instead with direct negotiation between the faculty member and her department chairperson. As with the process described above, this results in the establishment of a formal contract or job description, the major outlines of which become the portfolio categories.

A final way of establishing categories is administrative; categories are commonly defined for an entire department, division and even institution. If common categories are adopted the committee may wish to consider refining them further: a typical category, undergraduate teaching for instance, may be more specifically sub-divided into level, class size, approaches, subject matter and so forth. Certainly, common categories make the weighting of each in the next step essential if the portfolio is to reflect the unique abilities and achievements of each faculty member.

In general, four types of categories may emerge from this process: categories may be concerned with long-range goals, shorter range objectives, specific skills or assigned functions. Of course, any particular portfolio may contain categories representing each of these types, for such a mixture certainly reflects the multiple roles faculty members are asked to fill. On the other hand, the committee may wish to consider developing the categories for the portfolio around a single type. A goals-based portfolio would be concerned with such long-range projects as the production of a major new core curriculum, the establishment of a faculty development program or the development of an effectively functioning department; this approach would seem appropriate when an individual has major responsibility for a particular long-range — though perhaps time-limited — project and when its successful (or unsuccessful) completion can be identified with some clarity. An objectives-based portfolio would be concerned with such normal and more short range activities as the preparation of a particular proposal, the implementation of a major instructional innovation, or the publication of a specific book or article. A skills-based portfolio, on the other hand, is concerned with the improvement of specific skills — lecturing, class discussion, course design, departmental decision-making — and is most useful when the components of a specific job have not been clearly defined, as is often the case in many departments with teaching. Finally, a functions-based portfolio, one that deals with clearly assigned duties — teaching lower-division courses, advising, committee work, research — is most useful when the job expectations within a department or school have been fairly well defined. Whatever approach is taken to the establishment of these categories, however, it is crucial that each be as clear, as specific and as well defined as possible.

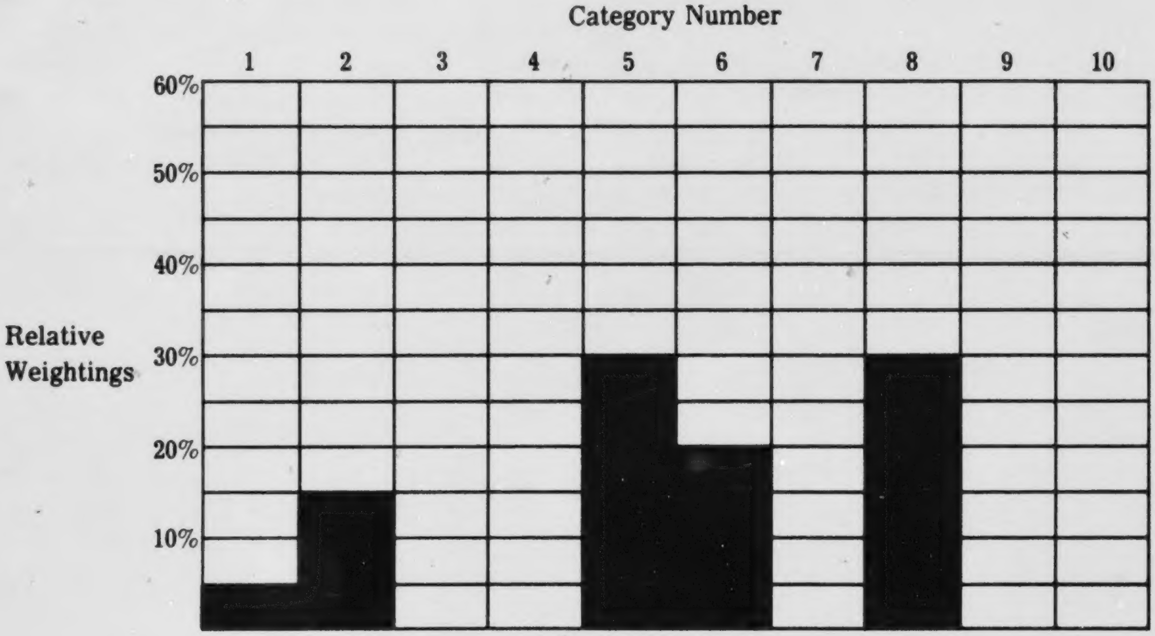
3. Assignment of Relative Weightings to Each Category

Whether or not the categories are individually developed for each faculty member or uniformly developed for a group of faculty, the portfolio procedure must be individualized by assigning relative weights to each category to reflect the fact that certain ones are, or will be, more important for a particular faculty member than others. The weighting of categories can be either quantitative or relative. Quantitative ratings would involve assigning a particular number of points to each category. Relative ratings would involve either assigning a figure to each category indicating the percent it represented of the faculty member's entire professional responsibility or the ranking of categories from the most to the least important. Of course, the review committee might simply decide to discuss the relative importance of each category for the particular faculty member.

If common departmental, divisional or institutional categories are developed, some careful negotiation will be involved in weighting each. Members of the department or the chairperson might determine the relative levels of responsibility which each faculty member should assume in a specific area. These differing levels of responsibility, in turn, would become the basis for determining the weightings for each faculty member in each category. If a person has been assigned only minimal responsibility for lower division instruction, for instance, then this functional category would be assigned less weight than another area in which he is assigned major responsibility. Working in this manner, each department can cover its major commitments by assigning or acknowledging different levels of responsibility for each commitment. Then each department can equitably assess the performance of its members through the use of weighted portfolio categories that reflect these different levels of responsibility.

The category weightings will produce a profile for each faculty member that might resemble the following hypothetical example:

Faculty Member:____



Category Titles:

1. Undergraduate/Lower Division Instruction
2. Undergraduate/Upper Division Instruction
3. Graduate Instruction
4. Departmental Administration
5. Undergraduate Advising
6. Departmental Committee Work
7. Institutional Committee Work
8. Disciplinary Research
9. Interdisciplinary Research
10. Public Relations

This particular faculty member has been given significant responsibility in the areas of undergraduate advising and disciplinary research but no responsibility in categories three, four, seven, nine and ten. Categories one, two and six have been given intermediate weightings. If the committee feels it would be useful, the important categories could be further sub-divided and clarified.

There are several different ways these weightings can be used. First, they can determine the *extent of documentation* that is to be expected in each category. Higher weighted categories may require more documents than categories with lower weightings. Second, the weightings can determine the *type of documentation* that will be expected or required. Highly weighted categories might, for example, require different kinds of confirmation than categories with lower weights. Third, the weightings might be used to determine, or at least influence, the *degree of accomplishment* that is expected. A low priority category might represent an area in which only routine performance would be expected, while a high priority category would be associated with expectations of significant achievement.

4. Survey of Existing Documents and Precedence

Though the documents which are collected for any particular portfolio should reflect the unique characteristics of the faculty member who is being assessed, the committee need not start from scratch in identifying appropriate documentary methods. The faculty member should have access to an organized collection of documents produced in previous portfolio assessments if available and a set of standard documentary procedures that are applicable in many settings. At this point, the resources of the consultant will be particularly important, for he should have knowledge of the wide range of existing instruments and procedures for faculty evaluation. In addition, of course, the faculty member is free to identify or develop his own documentary procedures and instruments.

The faculty member, as well as others on the review committee, can also benefit from the experience gained in developing past portfolios. Although documentary procedures should never become rigid or prescribed, precedence can be developed with reference to particularly useful documents, productive review committee procedures and so forth. A primary role of the portfolio consultant is to make this experience available to the faculty member and the review committee.

5. Delineation of Plans and Schedules for the Collection of Documents

Although the portfolio approach to faculty evaluation is very flexible, the process needs to be carefully planned, with firm deadlines, advance committee agenda and explicit statements of accountability. Because the portfolio may become complex and because it is the product of a small committee composed of busy people, it is essential that the committee formulate its plans in concrete terms with clear deadlines. Dates for the submission of certain types of documents must be set. Meetings to review documents must be established at the start of the project — otherwise, they will never take place. Each member of the committee must commit himself to the review of all pertinent documents and to attending all review committee meetings. Unless all members of the committee undertake a knowledgeable review of all aspects of the faculty member's portfolio, the review will be at best a waste of time.

6. Identification of Documentation Procedures

The major responsibility for the collection of documents lies with the faculty member being assessed. Although she may receive considerable help from the portfolio consultant, the faculty member herself is given the difficult task of demonstrating her own effectiveness through the production of a series of documents that relate to the specific categories developed by her review committee. These documents may be of at least nine different types: (1) questionnaires, (2) observations, (3) activity reports, (4) interviews, (5) expert opinion, (6) recommendations, (7) archival information, (8) products and (9) self reports. Each of these nine types will be briefly described.

Questionnaires are the most obvious and frequently used type of document; an accurate and reliable student evaluation, perhaps provided by the portfolio consultant, can be one of the most effective demonstrations of successful teaching that an instructor can provide his committee. The consultant at this point might also help the instructor identify or develop other kinds of questionnaires to assess such factors as general student attitude, specific recommendations for change and peer assessment of strengths and weaknesses.

Activity reports on faculty performance are often used for portfolio documentation. A faculty member might keep a weekly or even daily diary of job-related activities or he might complete one of the standard faculty activity analyses like the one developed by the National Center for Higher Education Management Systems in Boulder, Colorado. These request a faculty member to estimate the amount of time he spends in preparing for each of his courses, the amount of time spent in committee work and so forth. Finally, a record of activities might be compiled by a colleague or a student who spends a day — or even an entire week — with the faculty member, recording and commenting on his activities as they occur.

Interviews are a rich source of information about a faculty member's performance. These interviews can be done with other faculty, students, administrators, former students, parents, colleagues from other institutions or others who have observed the faculty member in action. An effective portfolio interview should be at least one hour in length and should range across such topics as the strengths and weaknesses of the faculty member, especially in the category areas, the resources of this faculty member that are not now being fully used, the external forces inside and outside the institution that seem to help or hinder the faculty member in meeting specific professional goals and available resources the faculty member might use to improve his professional performance. If each member of the review committee, or two or three colleagues not closely involved with the faculty member, were to agree to conduct only two such interviews, a considerable amount of useful, first-hand information could be thus collected for the portfolio.

In using expert opinion, the review committee should avoid falling into the trap of "achievement by association." Opinions given by highly esteemed members of the faculty or administration, or by esteemed members of the discipline at other institutions, are rarely useful unless these individuals have direct knowledge of the performance of the faculty member in one or more of the portfolio categories. Similarly, recommendations, in and of themselves, are rarely useful; the accumulation of a large number usually reflects the popularity and/or persistence of the faculty member rather than his professional competence. Recommendations, if used, should come from a diverse population, should be descriptive rather than heavily evaluative and should be supported, if possible, by direct and specific evidence.

Archival information is provided by documents which are accumulated as part of the daily operations of an institution, such as class enrollments, drops and adds, committee appointments and minutes, formal awards and acknowledgment and records concerning the assignment of space, funds and so forth. These documents can be rich in information, especially if selected in a creative and thoughtful manner. Data on adds and drops, for example, can be useful in assessing the impact which a faculty member has had on his students: Are there a relatively large number of students dropping his course? What does this indicate about his instructional skills? What is the level of difficulty in the course? Are the teacher's expectations of the students realistic? When coupled with interviews, archival information can be illuminative.

Portfolios should also include samples of the products for which the faculty member is at least in part responsible. Surprisingly, this type of document is often ignored. Course designs, syllabi, examinations, lecture notes — even audio or video tapes of particularly important, interesting or innovative class sessions — can be valuable additions to a portfolio. Committee reports, publications and unpublished research can also be incorporated. Once again, the faculty member's creativity and sensitivity are challenged in the identification of particularly illuminating items.

Finally, the self-report of the faculty member being assessed is certainly valuable, if not essential. This should include not only a personal assessment of achievements in each portfolio category but also an explanation of any contradictory or unclear documents in the portfolio.

While no one portfolio will probably contain all of these documents, the portfolio consultant should be familiar with and have examples available of each type. These examples will, of course, become increasingly valuable as a college or university continues to make use of the portfolio procedure. The files will become more extensive, allowing faculty both to draw on a wide range of possible approaches and to develop new techniques in particular areas, thus further expanding the resources available to others. This accelerating spiral should be kept clearly in mind as the initial problems of implementing a portfolio procedure are confronted. Although the experiences and instruments of another institution can be of value to a newly established portfolio program, each college or university may need to work through the early, frustrating steps of developing its own procedures and materials, ones which will be specifically responsive to the unique conditions of each institution.

7. Review of Documentary Procedure by the Committee

At the heart of an effective portfolio procedure is the interaction between the faculty member who is being assessed and the other members of the review committee. When the faculty member has identified or developed means for documenting his performance in each of the portfolio categories, he should review those decisions with the committee. Although the committee should probably not have veto power over the methods being employed, the early reaction of the committee members to them should be made explicit.

8. Collection of the Documents

This step is obviously the most important and potentially the most difficult. There are very few specific suggestions that can be made here about this step, for it will differ in scope and nature from one portfolio to the next. The portfolio consultant, however, should be particularly useful at this stage — providing the faculty member with suggestions, resources, personal assistance and support during difficult periods and, if available, even small cash grants to assist the project.

The development of portfolios need not be time consuming. Many of the documents that are collected generally should be gathered together by a faculty member as a matter of course. Any collegiate instructor, department member, committee member or student advisor should have information about how effectively he is performing a specific task. Furthermore, if the portfolio is being widely used in a college or university, the support services of a faculty or staff development program can provide important assistance to the entire process.

9. Formal Organization, Review and Approval of the Portfolio

If the faculty member and review committee have done their work through the first eight steps, the ninth will be easily accomplished. The documents which have been collected are organized around the categories that the committee has identified, then analyzed by the committee with reference to the weightings given each category. The faculty member may be asked to clarify or define specific documents or his explication of them in his self-report. Furthermore, the committee may request, with the faculty member's approval, that other people be brought in for brief interviews in order to expand its understanding of a specific point or to confirm a specific conclusion, observation or analysis. Typically, the portfolio review can be completed in one session of two to three hours.

A summary report and evaluation should be prepared by the committee. Several copies of the portfolio, with the summary report, should then be duplicated; one copy may be given to the faculty member and one or two copies filed in the office of the department or division chairperson or academic dean. The portfolio should be made available to others only with the faculty member's approval. After all names and identifying information have been removed by the portfolio consultant, however, a copy of the portfolio can be made available to others who wish to develop their own.

10. Review, Revision and Documentation of the Portfolio Procedure

After the review committee has formally approved the portfolio, it has one more brief task to accomplish; it must review the procedure that it followed in developing the portfolio. The consultant should take the lead in ensuring the committee reviews its own process: What was learned about how portfolios should be developed? What problems can be avoided in the future? How? What were the real accomplishments of this specific process? How can these accomplishments be incorporated in the development of other portfolios? The recommendations of the committee, together with the anonymous copy of the portfolio, should be made available to other review committees and should be kept on file at the consultant's office. In this way, the portfolio procedure can be self-renewing and the review committees, as well as the faculty members being assessed, can be held accountable for their decisions and actions.

C. Benefits of the Portfolio Procedure

The portfolio procedure offers benefits to both the faculty member who is being assessed and the institution in which the portfolio is being developed. For the individual faculty member there are at least six significant benefits:

1. the faculty member is given a chance to examine her professional performance with the assistance of a review committee composed of people with diverse perspectives; this provides a vehicle for constructive feedback that is rarely available to any of us;
2. the faculty member can obtain valuable advice concerning areas which need improvement from the members of the review committee; these individuals are not only knowledgeable about her professional performance but are also committed to support improvement efforts;
3. the faculty member is given an opportunity to devise methods that are particularly sensitive to areas of activity which may not be accessible to traditional methods of assessment;
4. the faculty member is assured of an equitable, documented review by a committee, rather than a sometimes arbitrary review by an individual or by a committee without documentation;
5. the faculty member can use the documents that have been produced for her own career advancement, for they provide her with a distinct advantage over other faculty who do not have access to an extensive and well-organized portfolio; and
6. the faculty member can integrate her portfolio with a comprehensive professional development program.

The institution which makes extensive use of portfolios will enjoy the following benefits:

1. the portfolio provides an equitable, open process for the review and evaluation of a faculty member's professional performance;
2. the portfolio procedure is one which will hold up under both legal and union review;

3. the portfolio provides valuable guidelines in the development of services for faculty members who wish to improve their performance;
4. the portfolio procedure enables a number of campus constituencies to become actively involved in the professional performance of the institution's staff;
5. the portfolio procedure can be used to encourage the more general collection, analysis and use of information about the functioning of the institution; and
6. the faculty portfolio can serve as a model and catalyst for the reform of the evaluation of students and administrators.

More generally, portfolio procedures can promote new levels of trust between faculty, administrators, students and others involved in the review process. The flexible yet thorough procedures which are employed in developing a portfolio enable a review committee to make an accurate assessment of the professional achievements of a faculty member and at the same time provide a faculty member with valuable information concerning areas in which improvement is needed. The portfolio procedure is compatible with the publicly acknowledged missions of most colleges and universities to promote the open and rational analysis of people, programs and problems and, as such, cannot help but reduce the animosity which so frequently accompanies most professional evaluation.

NOTES:

[1] It would be nearly impossible to list all of the studies of faculty evaluation here, but perhaps a few references would be helpful. The major study of the area is Richard I. Miller, *Evaluating Faculty Performance* (San Francisco: Jossey-Bass, 1972); the major review of research is an article by Frank Costin, William T. Greenough and Robert J. Menges, "Student Ratings of College Teaching: Reliability, Validity, and Usefulness," which appeared the *Review of Educational Research*, 41 (1971), 511-535. Costin's article contains over a hundred references. A source book of important readings on faculty evaluation has been edited by Craig S. Scott and Gaylord L. Thorne, *Professorial Assessment in Higher Education* (Higher Education Research Program, Oregon State System of Higher Education, Monmouth, Oregon, 1975); the same authors have compiled *Assessing Faculty Performance: A Partially Annotated Bibliography*, published in 1974 as part of the same research program.

[2] The most useful student evaluation instruments are the Instructional Development and Effectiveness Assessment (IDEA) system developed by the Center for Faculty Evaluation and Development in Higher Education at Kansas State University; the Teaching Analysis by Students (TABS) questionnaire developed by the Clinic to Improve University Teaching at the University of Massachusetts (see Chapter Five); the Student Instruction Report (SIR) by the Educational Testing Service, Princeton, New Jersey; the Student Description of Teachers (sorry, no acronym) developed by Milton Hildebrand, Robert C. Wilson and Evelyn R. Dienst and discussed in their *Evaluating University Teaching* (Center for Research and Development in Higher Education, University of California, Berkeley, 1971); and the Purdue Cafeteria System developed by the Measurement and Research Center, Purdue University.

Self and peer approaches to evaluation are less widely available, although many of the items in the student evaluations identified above could serve this purpose; the TABS questionnaire, in fact, requests faculty to rate their own teaching performance. Self and peer evaluations may be found on pages 52 to 63 of the first volume of this handbook; a detailed system of peer evaluation has been developed by Richard Morrow and Richard Stowell at UCLA.

[3] This approach to developing categories is based on the Faculty Growth Contracts developed by Richard F. Gross of Gordon College and discussed by him in *Faculty Development and Evaluation in Higher Education*, 2 (1976), 9-14. Such a contract, we feel, could become an important part of the portfolio process.

Section II

Instructional Development

Chapter Four

Instructional Development: An Overview

Over the past year or so *The Chronicle of Higher Education* has been publishing the results of a detailed survey of American faculty members by Everett Carll Ladd, Jr., and Seymour Martin Lipset. While confirming some traditionally held images of the faculty member, the survey has laid others to rest. Perhaps the most important of these is the assumption that faculty are more interested in research than teaching, that teaching is an activity reluctantly undertaken only as a way of supporting other, more important, work. Among the evidence cited by Ladd and Lipset to the contrary may be noted the following:

> Three quarters of the faculty responding to the survey indicated that they held a greater commitment to teaching than to research.
>
> Thirty-seven percent of the faculty indicated that they were "heavily" committed to teaching.
>
> For every one professor heavily devoted to research, nine are as heavily devoted to teaching.
>
> When asked which of five terms — intellectual, scholar, scientist, teacher or professional — best described them, forty-four percent chose "teacher."
>
> Only five percent of the faculty contacted felt that "teacher" was the poorest description of their role.
>
> Only thirty-two percent of the respondents agreed with the statement "no one can be a good teacher unless he or she is actively involved in research."
>
> Seventy-one percent agreed with the statement that "the quality of undergraduate education has suffered significantly" due to an "excessive commitment to research."[1]

Two conclusions for faculty development must emerge from a consideration of this information: first, most faculty are primarily concerned with teaching and, second, an effective faculty development program must most of all provide services to support them in that concern.

Faculty development programs can be subjected to enormous institutional pressures. Activities that in the past would have been undertaken by the Dean's office or by one or more *ad hoc* committees — activities ranging from a seminar on grade inflation to a workshop on university governance — suddenly become the assumed province of faculty development. Although these undertakings are not in themselves insignificant, they can siphon off time and energies that perhaps could be better spent in addressing one of the more central concerns of faculty development: what actually is happening in the classroom?[2]

This section offers two related responses to the major concerns we all have about instructional improvement. First, Chapter Five presents a detailed discussion of the teaching improvement process developed by the University of Massachusetts' Clinic to Improve University Teaching, then Chapter Six discusses a number of different approaches to course design; both chapters maintain an almost exclusive focus on what actually is happening in class. Since the diagnostic and training sequence developed at the University of Massachusetts often leads to a reconsideration of the design of an entire course, and since a workshop or series of seminars on course design can often lead to extensive diagnostic activity, the two chapters together hopefully form a single coherent approach to instructional improvement.

NOTES:

[1] Summarized from Everett Carll Ladd, Jr., and Seymour Martin Lipset, "The Ladd-Lipset Survey," *The Chronicle of Higher Education*, October 14, 1975, March 29 and April 19, 1976.

[2] For a more extended discussion of this issue, see Steven R. Phillips, "Faculty Development: Just Another Committee?", *Faculty Development and Evaluation in Higher Education*, 2 (1976), 2-4.

Chapter Five

The Teaching Improvement Process: The Clinic to Improve University Teaching

Sooner or later a faculty development program will be approached by someone seeking direct help with teaching. The resources that a program is able to make available at this point may have greater impact on what actually is happening in the classroom than any other single activity. Certainly sympathetic listening, a willingness to visit an individual's classes and the skills needed to provide helpful feedback are essential in this situation but perhaps are not enough. Along with a willingness to help, a planned and logical sequence of consultation would seem appropriate; no matter how well intended, haphazard analysis may do more harm than good. At the University of Massachusetts at Amherst, the Clinic to Improve University Teaching has been working over the last several years to develop such a logical sequence of individual consultation identified as the teaching improvement process. This approach to instructional improvement was jointly developed at the University of Massachusetts by Michael Melnik and Dwight Allen with the financial support of the W.K. Kellogg Foundation. Since 1972 the Clinic's process has been further developed and disseminated to various educational institutions under the directorship of Melnick and George Bryniawsky. Because actual face to face work with individual faculty is one of the essential components of an effective faculty development program, this chapter will outline in some detail the Clinic's approach to instructional improvement.[1] We believe that this consultation process lies very nearly at the heart of faculty development.

The teaching improvement process is essentially a systematic, confidential, structured exchange of ideas, perceptions and suggestions between a faculty development consultant, identified by the Clinic as a Teaching Improvement Specialist, and an individual faculty member the purpose of which is to identify and improve teaching strengths and weaknesses. The process involves four stages. In the first stage information of various kinds is collected about the instructor's teaching; in the second stage that information is analyzed in a detailed and systematic way. Based upon that analysis, various strategies for improvement are developed and implemented during the third stage. Finally, the results of the consultation and the instructor's efforts are evaluated through the collection and analysis of new information, which may then serve as the basis for planning further improvement activities; often a single consultation will establish a relationship that will be continued in following semesters. Ideally, the teaching improvement process can be completed in a semester; the initial data can be collected as early as the third or fourth week of class (assuming the class meets at least twice a week), allowing ample time for analysis, improvement and evaluation. In actuality, of course, this ideal consultation may not be possible. One of the strengths, however, of this approach to instructional improvement is its flexibility, for the basic four stage sequence of data collection, data analysis, improvement strategies and evaluation, and the accompanying forms and handouts, can be modified in any number of ways to suit the demands of the situation, the skills and resources of the consultant and the needs of the instructor. Although the following description will be based on an ideal, single semester consultation, our intent is to present a single, fairly full model of the Clinic's teaching improvement process, not to dictate how such a sequence must be conducted.

A. Data Collection

Four basic means of collecting information are used in the teaching improvement process. The instructor is interviewed in some detail by the consultant, one or more classroom observations are made, the class under consideration is video-taped one or more times, and a questionnaire about the class is completed by the students and the instructor. The process begins with an initial meeting.

1. Initial Meeting

The faculty development consultant may, of course, be contacted by the instructor in a number of ways and arrangements for the consultation can easily be made by phone, by letter or in person. We have found it helpful, however, to arrange a short initial meeting with the instructor before actually beginning the consultation process. The purpose of this meeting is primarily informational. The instructor should have clear in his mind the general sequence of activities that will take place as part of the process. If he has reservations or misgivings about any of these his concerns should be explored in detail. To assist in helping the instructor understand the consultation sequence, it may be useful to give him or provide him in advance with a copy of Handout Number One, "The Teaching Improvement Process." The consultant should take this opportunity to clarify the confidential nature of the relationship, identify with the instructor a specific class on which to work and, in general, decide at the outset whether the instructor's needs and interests can be met by the teaching improvement process. Although this strategy has been used in a wide variety of instructional situations, it is not a universal panacea. If, for instance, an instructor is forced to teach in an area well outside his area of competence, there may be little a sequence of data collection and analysis can do to assist him. Consequently, at this very early point the potential usefulness of the process for each particular instructor must be determined.

Once the instructor clearly understands the consultation process and a determination has been made that the process will likely be of some assistance to him, a time can be arranged for the initial interview. Before concluding this first meeting, the consultant should leave with the instructor a copy of the "Course Information Form" (Handout Number Three), the "Instructor's Self-Assessment" (Instrument Number Four), the Teaching Analysis by Students (TABS) questionnaire and the related "Definitions and TABS Items" (Instrument Number Six). It is generally desirable to have the faculty member complete the self-assessment before the next step.

2. Initial Interview

A number of approaches to this interview can be taken. The consultant may wish to modify a fairly formal interview schedule like the one presented in the first volume of this handbook,[3] or he may wish to ask only a few general questions about the course and the instructor's goals and objectives. Indeed, some consultants prefer simply to engage in a very informal conversation with the instructor about the course. Whatever approach is taken, the consultant should basically be interested in obtaining the kind and amount of information he feels he needs to work with that particular individual. What are the goals of the course? What methods are used to reach those goals? How are classes conducted? How do students show that they have learned? Does the instructor have any particular concerns or problems on which he would like to work? Are these concerns unique to this particular class or do they occur in the instructor's other classes? How does the instructor feel about getting feedback on his course? These and similar questions will generally provide considerable information. At the conclusion of the interview arrangements should be made for the first classroom observation.

3. Classroom Observation

An initially unstructured class visit is usually helpful to get a feeling for the class. If the class is large, the consultant probably should observe the class without having his presence pointed out. If on the other hand the class is small he will obviously be noticed. It is usually best at the outset of such a class either to have the consultant introduce himself or to have the instructor make the introductions; one or both of them can then explain something of the process in which they are involved (the other logical times for this introduction are before the video-taping or before the administration of the TABS questionnaire). A single observation of a representative class may be sufficient or additional visits scheduled. Certainly, if the instructor uses a variety of teaching methods the consultant should see enough classes to get a sense of these different approaches. One way of determining the expected content of a class is to complete a brief pre-visit interview using Instrument Number Five, "Pre-Video-taping/Observation Information." Once the consultant feels he has a fairly firm grasp of the classroom environment, he may decide to move to the next stage. If, however, it appears potentially productive, he may wish to conduct some more specific and structured observations using instruments like those presented in the first volume of the handbook.[3]

4. Video-taping

Video-taping is a more retrievable form of classroom observation and will provide "live" data for later analysis by both the instructor and the consultant. Like one or more classroom observations, the class or classes to be taped should be as representative as possible of the instructor's teaching or of particular problem areas about which he is concerned. As with the classroom observations, it is useful if time allows to complete the interview outlined in Instrument Number Five. Unlike classroom visits, however, video-taping is a relatively obtrusive activity and should not be made more so by taping in a room other than the one in which the class regularly meets if possible. If the class is large and the instructor is primarily a lecturer, perhaps only twenty minutes of tape will be needed to get a good sample of the instructor's teaching; if the class is small and the existence of the taping somewhat distracting, it may be necessary to tape one or two full classes before the consultant is satisfied he has obtained the best information possible.

5. Teaching Analysis by Students

The final step in the data collection process is the administration of Instrument Number Six, the Teaching Analysis by Students (TABS) questionnaire. This instrument takes about twenty minutes to complete and generally should be administered during the last twenty minutes of the class so that the majority will not be held up by the occasional student who takes longer than this. While the class is completing the questionnaire, the instructor should complete the "Instructor's Predictions of Student's Responses on TABS." The data from these two instruments and from the "Instructor's Self-Assessment" should then be fed into a computer programmed to produce the kinds of information discussed in Instrument Number Nine, "Teaching Analysis by Students: A Computer Print-out."

6. Additional Information

Depending on the nature of the course and the concerns of the instructor as identified in the initial interview, additional information may need to be collected with, of course, the instructor's permission. Students, for instance, might be interviewed about their response to the class, to particular groups or individuals in the class, to assignments, level of difficulty and so forth. Special questionnaires may need to be designed to assess such factors as laboratory or field work, nontraditional teaching methods or general interest level. Finally, peers may be interviewed about their perceptions of the instructor's teaching or asked to observe one or more classes to provide information about the level of challenge and the instructor's command of the discipline.

The receipt of the print-out from the TABS questionnaire and the tabulation of any additional information complete the data collection phase of the teaching improvement process.

B. Data Review and Analysis

At this point the faculty development consultant will have collected considerable information about the instructor's teaching. Some of this material will be relatively subjective, based as it is on the consultant's impressions of the instructor; some of it will be relatively objective, based as it is on the summary of the students' responses to the TABS questionnaire. It is now time to review, analyze and organize all of this information in preparation for the data review meeting with the instructor.

1. Preparation for Data Review Meeting

Both the instructor and the faculty development consultant should prepare independently for the review meeting. The instructor should review in private the video-tapes of her class as many times as she wishes. She should also have the TABS print-out explained to her and be provided with her own copy so that she may go over that information. In preparing for the meeting the instructor should be asked to identify as specifically as possible particular areas or issues she would like to discuss. Handout Number Two, "Information Review: Some Suggestions" should prove helpful in this process. In the meantime the faculty development consultant is doing his own preparation for the meeting. Although each consultant will eventually discover or invent his own way of dealing with the wealth of data facing him, we would like to suggest a fairly structured four step sequence of review, analysis and organization. Once individual faculty development consultants have gained some familiarity with that sequence they will be in a better position to develop their own approach to this rather complicated and extremely important task.

a. Step One

In the first stage of analysis, the consultant reviews each source of information separately in an initial attempt to identify the instructor's strengths, weaknesses and unneeded skills for that particular class as perceived by the consultant, by the instructor himself and by the students. First the consultant reviews her records of the initial interview and the classroom observation(s) and views the video-tape. This latter source of information can prove particularly useful at this point, for a typical class period can be subjected if appropriate to several structured analyses like those offered in the first volume of this handbook.[4] The consultant then lists with supporting data from one or more of these sources what she believes are the instructor's teaching strengths, weaknesses and unneeded skills. Although this initial assessment is tentative and may need to be revised on the basis of later analysis, an experienced consultant can provide a different perspective on the instructor's teaching than can either the instructor or the students and thus should consider herself to be an important source of information.

Next, the consultant reviews her record of the interview and the instructor's self-assessment on TABS in an attempt to identify the instructor's perception of his own strengths, weaknesses and unneeded skills. Information from the interview might include the instructor's identification of specific problems or concerns, reports of successful teaching methods or classroom experiences, requests to focus upon particular skills, to investigate certain areas, to ignore others and so forth. In examining the TABS self-assessment, the consultant pays particular attention to extreme ratings; skills the instructor identifies as either needing no improvement or needing considerable improvement are usually given special attention. The instructor's self-assessment, of course, may not be entirely accurate and the extent to which his perceptions are confirmed or questioned by additional information will provide important material for further consideration. At the end of this process, a detailed list with as much specific supporting evidence as possible is made concerning the instructor's perceptions of his own strengths, weaknesses and unneeded skills.

Finally, the consultant reviews the student responses to TABS in an attempt to identify student perceptions of the instructor's teaching. This is sometimes a difficult task and generally no specific criteria can be used. Since the consultant is looking for *relative* strengths and weaknesses, she will need to examine the overall response pattern before she begins to identify significant variations from it. Thus if the general pattern of responses to the first thirty-eight questions is

1	2	3	4	5
10%	35%	45%	10%	0%

then a response indicating a relative strength might be

1	2	3	4	5
25%	45%	20%	10%	0%

while one indicating a relative weakness might be

1	2	3	4	5
0%	30%	50%	20%	0%

On the other hand, an instructor with an overall response pattern of

1	2	3	4	5
60%	20%	10%	10%	0%

will require much more demanding standards to identify *relative* strengths and weaknesses. Whatever strategy the individual consultant develops for working with the data from TABS, she will conclude this stage with a specific listing with supporting evidence from the questionnaire of relative strengths, weaknesses and unneeded skills as perceived by students.

b. Step Two

In the second stage of analysis the faculty development consultant compares the instructor's prediction of student responses and the instructor's self-assessment to the actual student responses on TABS. First, the consultant compares the instructor's prediction of student responses to the responses themselves. Since there is frequently a tendency for instructors to overestimate the number of students who will respond in categories three and four and to underestimate the number who will respond in categories one and two, the consultant will often look for gross discrepancies in this data. These comparisons should enable the consultant and the instructor to determine the accuracy of the instructor's perceptions of the class's response to his instruction, to clarify the reasons for those perceptions and to discuss the implications they have for his teaching. If the instructor accurately predicts student satisfaction, this information may provide him with reassurance and reinforcement. If he accurately predicts student dissatisfaction on a number of items, this may strengthen his motivation for improvement. If there are significant discrepancies between the instructor's and the students' perception, the consultant and the instructor may wish to explore this further, perhaps with the assistance of a few students from the class.

Next, the consultant compares the instructor's self-assessment to the actual student responses. Again significant agreement may provide further evidence that a particular skill is a strength, a weakness or one not needed for that class; disagreement again suggests areas for further examination. As a whole, these comparisons between self-assessment, prediction and student response provide one of the most fruitful entry points for the forthcoming discussion between the consultant and the instructor.

c. Step Three

In this stage of analysis the consultant begins to synthesize the information before her and to make a tentative diagnosis of the instructor's teaching. To do this she lists all of those skills and behaviors she feels are the instructor's notable strengths, significant weaknesses and unnecessary skills. Under each of these items she lists the evidence which supports this conclusion, identifies any contradictory data and makes a tentative explanation of any inconsistencies in the data. At the end of this stage the consultant will have developed a fairly extensive and well documented profile of the instructor's teaching.

d. Step Four

At this point the faculty development consultant will begin thinking more directly about the coming meeting with the instructor. Since she will probably have more information available than can possibly be covered in a single meeting, she must decide how much and which information she and the instructor can examine and how together they can most productively spend their time in that meeting. To accomplish this the consultant must identify those strengths which can most productively be emphasized during the meeting, those weaknesses which would provide the most constructive focus for initial improvement efforts and those parts of the data that will be most useful to examine during the session.

First, the consultant reviews her summary of the instructor's stronger skills and isolates those she wishes to consider based on her answers to the following four questions:

1. For which skills or behaviors is there the strongest evidence that the instructor's performance is outstanding?
2. Which of these teaching strengths most contribute to the instructor's overall teaching effectiveness?
3. Which of these teaching strengths may best be built upon to increase the instructor's effectiveness in other areas?
4. How much and what kind of reinforcement does this instructor need?

Next, the consultant reviews her summary of the instructor's more significant weaknesses and identifies two or three which she believes might best be first addressed. In making her selection, she may wish to ask herself the following questions:

1. How much time and energy is the instructor prepared to invest in improvement efforts?
2. Which of these skills or behaviors would require long term improvement efforts and which would require shorter term improvement efforts from this instructor?
3. Which of these skills or behaviors represent high risk areas for this instructor and which represent relatively low risk areas?
4. Which of these skills or behaviors will the instructor be able to deal with immediately and which would better be postponed until the instructor has experienced some initial successes?
5. Which of these skills or behaviors most interfere with the instructor's overall teaching effectiveness?

6. Which of these weaknesses does the consultant have the skills or resources to deal with most effectively?

Finally, the faculty development consultant identifies significant pieces of information for review in the meeting. Short segments of video-tape and other data from observations, TABS and so forth are selected which most dramatically and effectively highlight the strengths and weakness she has identified as possible topics for discussion. Although this may seem relatively mechanical it is of crucial importance, for unless information is in a sense edited for the meeting there is a real danger that much time will be wasted in wallowing through undigested material or looking for particular incidents or examples. It is important to emphasize, however, that the consultant must be familiar with all of the information — not just selected examples — for the instructor may well want to focus on problems other than those chosen by the consultant for review.

In summary, then, the data review and analysis consists of the following four steps:

Step One: Review of each source of information separately to make a tentative identification of relative strengths, weaknesses and unneeded skills
   1. Faculty development consultant's estimate of relative strengths, weaknesses and unneeded skills
   2. Instructor's estimate of relative strengths, weaknesses and unneeded skills
   3. Students' estimate of relative strengths, weaknesses and unneeded skills

Step Two: Comparison of instructor's prediction of student responses and instructor's self-assessment with the actual student ratings
   1. Comparison of instructor's prediction with student ratings
   2. Comparison of instructor's self-assessment with student ratings

Step Three: Synthesis and tentative diagnosis
   1. Identification of instructor's significant strengths
   2. Identification of instructor's significant weaknesses
   3. Identification of clearly unneeded skills

Step Four: Selection of strengths and weaknesses for consideration in the data review meeting

Once these four steps have been completed and once the consultant has thought through the approach she will use in sharing this information with the instructor and has established a tentative agenda, it is time for the data review meeting.

2. Data Review Meeting

It is important for the faculty development consultant to remember that while she has been preparing for this meeting the instructor has been preparing as well; even though the consultant has carefully identified a number of issues for consideration these may not be the ones the instructor would like to talk about. Considerable sensitivity and tact — even a willingness to abandon her agenda entirely — characterize the effective consultant at this point. Although no specific guidelines can be established for the conduct of this meeting, clearly the primary objective of the session is to help the instructor explore with the consultant his strengths and weaknesses as a teacher in as supportive an environment as possible.

The data review meeting usually takes from one to two hours; as it nears its conclusion, and after some agreement has been reached concerning the instructor's strengths and weaknesses, a decision must be made by the instructor as to whether he wishes to continue with the teaching improvement process or to terminate the consultation. This latter option should be clarified with the instructor at the first meeting and should be kept open throughout the relationship. Faculty, as well as students, have different learning styles and many faculty will prefer to work alone on improving their teaching; an effective consultant will respect that preference and be satisfied with having provided the instructor with an accurate profile of his teaching. If, however, the instructor chooses to proceed with the process then one or more specific steps can be decided on during the last part of the data review meeting; here the consultant's prior analysis of areas most appropriate for initial consideration may be quite helpful. Strategically it is best that specific plans for the implementation of a particular improvement strategy be clearly decided upon before concluding the data review meeting and moving on to the next stage in the teaching improvement process.

C. Strategies for Improvement

Ultimately, the success of the teaching improvement process depends on the faculty development consultant's ability to select or design and implement effective teaching improvement strategies. Unfortunately, few guidelines can be offered about this most important stage in the consultation, for the range of possible problems an individual instructor might face is so wide that no single set of strategies is likely to suffice. At this point the consultant must rely on his own resources, the resources of his institution, his knowledge of faculty development, his own experience as a teacher and consultant and his creativity. It is, however, possible at this point to suggest the importance of carefully defining instructional problems and change objectives, of trying a variety of potentially effective ways for producing desirable changes and of carefully assessing the impact of each change strategy.

A procedure for generating improvement strategies for specific instructors then would begin with a clear description of a significant instructional problem which is suggested by the information collected during the previous stages of the teaching improvement process. An example might be as follows:

> This Social Science class of forty students is meant to follow a lecture/discussion format. While the instructor has claimed, orally and in the syllabus, that he encourages student participation, he does not reinforce student questions or comments in class either verbally or non-verbally. There are few questions and even fewer comments. He answers the few questions directly, then goes on with his lecture. Comments are merely acknowledged. On occasion, his responses to student attempts at participation suggest that he feels that he is being interrupted.

Although the problem description does not say so, it must be understood that the lack of student participation bothers the instructor and that to increase its quantity and quality would make pedagogical sense for this particular class.

Change objectives next need to be carefully negotiated by the consultant and the instructor. Initial change objectives for the problem defined above might include:

1. The instructor will define the types and level of desired participation clearly enough so that students will know what is expected of them.
2. The instructor will verbally or non-verbally reinforce each subsequent student question or comment which is consistent with the ground rules elaborated above.
3. Each class session will include ten to fifteen minutes for student comments on, and reactions to, the lecture material.

Other change objectives might need to be developed which focus more specifically upon increasing the quality of the participation.

Once change objectives are clarified, the faculty development consultant should be prepared to suggest a variety of improvement strategies to the instructor. Although these strategies will be as various as the range of potential objectives is wide, it is possible to identify a number of different approaches to change. First, changes in the teaching material of the course may be called for. Although the faculty development consultant may not be able to be of much direct assistance here, he can put the instructor in touch with others in the instructor's discipline who might help him explore new, updated, more relevant or more accessible textbooks, handouts, laboratory manuals and so forth. Second, improvement efforts might focus on existing teaching methods. Written materials on, for instance, improving lecturing or increasing student participation, though seldom sufficient in themselves to bring about change, can provide important new ideas with which the instructor might like to experiment. To encourage implementation of these efforts, the faculty development consultant might suggest an approach to the improvement of existing teaching methods involving direct feedback. If, for instance, the instructor wishes to experiment with small groups as a way of increasing student involvement, this interest can be encouraged and supported if the consultant indicates his willingness to help the teacher understand and plan for use of small groups, to observe the class and to provide feedback to him. Then again the consultant might develop various monitoring instruments like brief questionnaires on the students' response to a new approach or on their ability to identify the major points in a lecture. Like direct feedback from the consultant, this kind of information from a class can prove extremely helpful to the instructor.

A third general approach to change, one that has already been touched on in our mention of small groups, involves the introduction of alternate teaching techniques to meet specific instructional problems. This strategy is one that may range from an occasional deviation from the normal classroom routine to extensive training, preparation and redesign. Obviously the faculty development consultant will need to be aware both of a large number of alternate approaches to instruction and of the skills and the amount of time and effort involved in implementing them. In general more radical departures from what is typical of a given class should be delayed until initial efforts at instructional improvement have been successful and the instructor has indicated an interest in more thoroughgoing measures.

Finally, various kinds of training experiences can be made available to an instructor. These may vary from a brief on-campus session designed to improve the instructor's skills as an advisor to extensive off-campus workshops. This approach to instructional development has been discussed in some detail in Chapter Fourteen of the first volume of this handbook.[5]

A few general considerations emerge from this brief examination of improvement strategies. First, it is clear that the strategies chosen must be in line with both the instructor's needs and willingness to change and the consultant's skills and resources. Obviously it would be foolish to urge a self-paced approach to an instructor committed to the lecture method who only wanted to improve her ability to answer students' questions. It would also be inappropriate for an untrained consultant to take on a problem like stuttering. Second, the teaching improvement process should take place in the context of other resources. To provide the extensive and detailed diagnosis that emerges from the process without at least a willingness to provide the resources needed for improvement seems unwise. Third, however, a certain willingness to take some creative chances seems essential to the successful execution of the process. Many improvement strategies will need to be developed on the spot; most will need to be carefully tailored to the resources of the consultant and the needs of the instructor. Perhaps more than anything else, this willingness by both parties to engage in experimentation is the most crucial element in the teaching improvement process.

D. Evaluation

Once various improvement strategies have been implemented, an evaluation of both those strategies and the teaching improvement process itself is undertaken, generally near the end of the semester. To accomplish this another classroom visitation is made, another class is video-taped and a modified TABS questionnaire (see Instrument Number Eleven) is administered and tabulated. Once this data has been reviewed separately by the instructor and the faculty development consultant, a final meeting is held to examine that data, identify what kinds of improvements have taken place and perhaps plan for future activities to be undertaken either jointly or by the instructor alone. Although this meeting may terminate the consultation it often happens that the instructor will indicate an interest in continuing with the process, perhaps focusing on new areas of improvement, or in examining more far reaching approaches to instructional change. Frequently at this point the consultant and the instructor will become involved in reexamining the assumptions lying behind a particular course and even in redesigning that course (see Chapter Six). Thus the teaching improvement process, while focusing initially on specific in-class behaviors, may move to a broad examination of instructional issues. At the conclusion of the final meeting the instructor is asked to complete and return "An Evaluation of the Teaching Improvement Process" (Instrument Number Twelve); if desired by the faculty member, the consultant may complete a description of the consultation, a copy of which is sent to the faculty member for his own use. This report can serve important purposes for the instructor in later improvement efforts, in personnel decisions in the department or job hunting outside. It is one of the few objective sources of information faculty have about their teaching.

E. Conclusion

A comprehensive faculty development program offers a wide range of services to faculty members, administrators and, in some cases, even students. The introduction of alternate teaching methodologies, the promotion for developmental purposes of various approaches to faculty evaluation, the execution of a number of organizational improvement efforts and the consideration of the various personal factors which influence effective teaching all are appropriate undertakings for faculty development. Yet in the excitement and even glamour of simulations and team teaching, of team-building and conflict-management, of personal and interpersonal growth, one thing remains constant: on Monday morning an instructor is going to walk alone into a classroom full of students. What happens in those next fifty minutes is one of the crucial and central acts of teaching and learning. This is, if you will, the bottom line of higher education and must be one of the primary concerns of faculty development. The teaching improvement process as developed at the University of Massachusetts' Clinic to Improve University Teaching offers perhaps the most powerful methodology yet conceived for the actual improvement of in-class teaching. However that process is further developed and modified to meet local needs and resources, it can and perhaps should be an important part of almost any faculty development program.

NOTES:

[1] The financial support of the W. K. Kellogg Foundation allowed for the establishment of a team of individuals who should be acknowledged for refining, developing and adopting Melnick's original approach to instructional improvement: the members of the original team were Glen and Bette Erickson, Daniel Sheehan and Paul Adams.

We would like to thank Michael A. Melnick, George Bryniawsky and their staff at the University of Massachusetts' Clinic to Improve University Teaching for their cooperation with this chapter and for providing us with the materials presented herein. It should be noted, however, that this chapter is not a complete description of all clinic components and that it does not review applications of the process to other than individual instruction; the Clinic and the Center for Instructional Resources and Improvement (also at the University of Massachusetts) have, for instance, adapted the process for use at the departmental level. We have chosen to stress in this chapter material immediately relevant to faculty development practitioners in working individually with their faculty. Finally, we would like to thank Sheryl Riechmann, Director of the University of Massachusetts' Center for Instructional Resources and Improvement, and Bette LaSere Erickson at the University of Rhode Island's Instructional Development Program for their assistance with this chapter.

Further information about the Clinic's process may be obtained from the Clinic to Improve University Teaching, University of Massachusetts, Amherst, Mass. 01102.

FACULTY DEVELOPMENT

[2] William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development* (Washington, D.C.; The Council for the Advancement of Small Colleges, 1975), pp. 203-205.

[3] Bergquist and Phillips, pp. 91-103.

[4] Bergquist and Phillips, pp. 57-63, 91-103.

[5] Bergquist and Phillips, pp. 237-242.

HANDOUT NUMBER ONE

TITLE: The Teaching Improvement Process

SOURCE: Revised from similar handouts developed by the Clinic to Improve University Teaching, the University of Massachusetts and the Instructional Development Program, the University of Rhode Island

GENERAL DESCRIPTION: "The Teaching Improvement Process" is a brief outline of the entire instructional consultation. As such it is useful to make this information available to an individual faculty member either before or at the initial meeting. With perhaps some revision, the material contained in "The Teaching Improvement Process" can be used to announce and promote this approach to instructional improvement throughout the entire faculty.

INSTRUCTIONS FOR USE: A faculty member interested in the teaching improvement process should have a chance to read this handout either before or during the initial meeting. Since it raises a number of specific details about the process it can serve as a useful departure point for a discussion and clarification of the potential consultation.

THE TEACHING IMPROVEMENT PROCESS

Faculty development is making available to interested faculty members confidential individual consultation based on a systematic teaching improvement process developed at the Clinic to Improve University Teaching at the University of Massachusetts. This process involves the identification of specific instructional strengths and problems through the collection, analysis and interpretation of information from a variety of sources; deciding with the instructor which teaching strengths to expand on or which problems to attack; the utilization of a variety of teaching improvement strategies; and a careful assessment of the effectiveness of the teaching improvement process.

After a brief initial meeting, the information collection stage of the process begins with a personal interview with the instructor. This affords the faculty development consultant an opportunity to respond to the instructor's course and teaching. Subsequent information collection usually includes: classroom observation by the faculty development consultant; a videotape of the class; a student questionnaire; the instructor's self-assessment and predictions of student responses on the questionnaire; and course descriptions, syllabi, objectives, assignments, examinations and so forth. This collection of information will typically require one to two hours of the faculty member's time; the student questionnaire takes about twenty minutes of class time.

The student questionnaires developed at the University of Massachusetts may be of particular interest. The Teaching Analysis by Students (TABS) instrument includes statements describing a variety of teaching behaviors considered important across disciplines and instructional modes. These items were derived from the description of teaching skills and behaviors extracted from the substantial research available on effective college teaching. For each item, students are asked to decide whether they think the instructor's performance is satisfactory or in need of improvement. TABS results, in conjunction with the faculty member's self-assessment on the questionnaire, often cue the faculty development consultant and the instructor to appropriate areas upon which to focus during the next stage of the instructional improvement process.

After the results of the student questionnaires and faculty predictions of student responses are processed, the teaching improvement specialist and the instructor together evaluate all of the information collected in an attempt to identify the instructor's specific strengths and relative weaknesses. They then decide which of these the instructor will work toward generalizing or improving. This data analysis and negotiation process will usually involve sixty to ninety minutes of the instructor's time.

After the instructor and the faculty development consultant have determined where to focus improvement efforts, they begin the next stage of the process, the improvement strategies. The consultant also helps the instructor assess the effects of those improvement strategies upon teaching and learning. Since improvement strategies are designed to fit each instructor's particular improvement goals, instructional situation and unique teaching style, activities during this stage vary widely from instructor to instructor. Improvement strategies are often designed to utilize or build upon existing teaching strengths, and, while these strategies are always designed to help the faculty member improve skills or solve problems within the context of a specific class, the fruits of improvement efforts are often generalized to other classes. Faculty members typically spend about thirty to sixty minutes per week for six to eight weeks working with the faculty development consultant on improvement strategies. But the time invested is always negotiated between the instructor and the consultant and consequently varies substantially from one faculty member to another.

The implementation of teaching improvement strategies is followed by an evaluation of the efforts of the instructor and the faculty development consultant. This process will ordinarily take up another twenty minutes of class time and sixty to seventy-five minutes of the instructor's time. Information regarding the instructor's teaching skills and behaviors is re-collected and examined for evidence of teaching improvement. During a wrap-up session the instructor is asked for a written and oral critique of the process, the improvement strategies and the faculty development consultant. Arrangements may be made at this time for follow-up work on the instructor's teaching. Faculty development will provide a confidential written report of the consultation if desired.

INSTRUMENT NUMBER THREE

TITLE: Course Information Form

SOURCE: Clinic to Improve University Teaching, University of Massachusetts

GENERAL DESCRIPTION: The "Course Information Form" provides the faculty development consultant with certain important information about the instructor's courses. Responses are requested concerning course title and number, enrollment and so forth. More importantly, the instructor is asked to identify both his grading system and his objectives for the course. These are frequently two major areas of concern in such a consultation and these preliminary statements may be of great value, both to begin clarifying the issues and to provide a point of reference against which additional information can be compared.

INSTRUCTIONS FOR USE: This form should be given to the faculty member during the first meeting; it should be completed and returned to the faculty development consultant, with as much supporting information (syllabus, reading list, tests and so forth) as possible, before the initial interview. Naturally the consultant should have digested this information before that interview.

COURSE INFORMATION FORM

Faculty Member's Name: ______________________________ Date: __________

Course Title: ____

Course Number: __________ Department in Which Course is Offered: ________________

Number of Students Enrolled: ________ About how many of the students are: ________ freshmen;

________ sophomores; ________ juniors; ________ seniors; ________ graduate students?

When does your course meet? ____________ Where does it meet? ______________

Do you grade: _____ A through F; _____ satisfactory/unsatisfactory; _____ pass/fail? On what basis are grades assigned? ______________________________________

____

____

How is your course structured (i.e., one lecture and two labs a week, three discussion groups a week, one seminar group a week, etc.)? ______________________________________

____

If you have copies, would you please attach: ______ syllabus; ______ reading list; ______ copies of assignments; ______ copies of quizzes or examinations.

Generally what are the objectives of this course? ______________________________

____

____

____

____

____

____

INSTRUMENT NUMBER FOUR

TITLE: Instructor's Self-Assessment

SOURCE: Clinic to Improve University Teaching, University of Massachusetts

GENERAL DESCRIPTION: Three sets of responses to the first thirty-eight items on the TABS questionnaire are obtained in the teaching improvement process. First, the instructor is asked to assess his own performance on each item; later, while the students are providing their responses, the instructor will be asked to predict what those responses will be. The "Instructor's Self-Assessment" collects the first set of these responses. Strategically, this self-assessment is collected early in the teaching improvement process for it not only begins to familiarize the instructor with the TABS questionnaire but it also initiates the reflection and self-evaluation that form a central part of instructional improvement.

INSTRUCTIONS FOR USE: The "Instructor's Self-Assessment" is left with the instructor at the end of the first meeting and should be completed and returned no later than the beginning of the initial interview.

INSTRUCTOR'S SELF-ASSESSMENT

Instructor's Name: ______________________________ Date: ______________________

Please read the instructions for "Section I — Teaching Skills and Behaviors" of the "Teaching Analysis by Students" (TABS). Then circle the response which reflects your judgment about your own performance of each teaching skill or behavior in the class on which we are working.

1. 1 2 3 4 5
2. 1 2 3 4 5
3. 1 2 3 4 5
4. 1 2 3 4 5
5. 1 2 3 4 5
6. 1 2 3 4 5
7. 1 2 3 4 5
8. 1 2 3 4 5
9. 1 2 3 4 5
10. 1 2 3 4 5
11. 1 2 3 4 5
12. 1 2 3 4 5
13. 1 2 3 4 5
14. 1 2 3 4 5
15. 1 2 3 4 5
16. 1 2 3 4 5
17. 1 2 3 4 5
18. 1 2 3 4 5
19. 1 2 3 4 5
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21. 1 2 3 4 5
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25. 1 2 3 4 5
26. 1 2 3 4 5
27. 1 2 3 4 5
28. 1 2 3 4 5
29. 1 2 3 4 5
30. 1 2 3 4 5
31. 1 2 3 4 5
32. 1 2 3 4 5
33. 1 2 3 4 5
34. 1 2 3 4 5
35. 1 2 3 4 5
36. 1 2 3 4 5
37. 1 2 3 4 5
38. 1 2 3 4 5

INSTRUMENT NUMBER FIVE

TITLE: Pre-Videotaping/Observation Information

SOURCE: Clinic to Improve University Teaching, University of Massachusetts

GENERAL DESCRIPTION: If possible, it is useful and helpful for someone observing or video-taping a class to have a certain amount of information about the class before hand. It is particularly important to know if the class will be typical of the instructor's teaching and if there are any specific things the instructor would like the observer or camera man to focus on. This interview schedule provides a brief, structured way of obtaining that information.

INSTRUCTIONS FOR USE: The twenty to thirty minute interview outlined in the following form should be conducted by the faculty development consultant prior to the class being observed (but near enough to the class that the instructor has a fairly clear idea of what will be taking place).

PRE-VIDEOTAPING/OBSERVATION INFORMATION

Instructor's Name:

Date of Class:

1. Generally, what do you hope students will get out of this particular class?

2. How will class be conducted so that students will achieve those goals?

3. How will you decide whether or not you have been successful?

4. What have students been asked to do to prepare for this class?

5. What do you expect students to be doing during the class?

6. What was done in earlier classes to lead up to this one?

7. Will this class be generally typical of your teaching? If not, what will be different?

8. Is there anything in particular which I should focus on during the class?

INSTRUMENT NUMBER SIX

TITLE: Teaching Analysis by Students (TABS)

SOURCE: Clinic to Improve University Teaching, University of Massachusetts

GENERAL DESCRIPTION: The TABS questionnaire is designed to allow students to point out specific areas they feel are their instructor's strengths and weaknesses, to identify skills they feel are not necessary to that particular class and to provide more general descriptive and evaluative material about the class.

TABS is copyrighted by the Clinic to Improve University Teaching and is reproduced here with permission.

INSTRUCTIONS FOR USE: TABS takes about twenty minutes and is perhaps best administered during the last part of a class. Depending on computer arrangements students respond on either locally prepared answer sheets or on some form of an optical scan card or sheet. Before handing out any material the faculty development consultant should introduce himself to the class if he has not done so before this and explain briefly that he is working with their instructor on a teaching improvement process and that, as part of the process, they both would appreciate finding out what the students' response to the class has been so far. It is useful to stress that this process is confidential and not related to promotion and/or tenure. Students should be impressed by the need for honest responses to the questionnaire; they can only help the instructor improve if they are honest and straightforward about their instructor's teaching.

Once the materials have been given out the faculty development consultant should briefly explain the questionnaire to the class.

TEACHING ANALYSIS BY STUDENTS (TABS)

SECTION I — *Teaching Skills and Behaviors*

In this questionnaire there are some statements concerning a variety of specific teaching skills and behaviors. Please read each statement carefully and then indicate the extent to which you feel your instructor needs improvement. Respond to each statement by selecting one of the following:

1. No improvement is needed (very good or excellent performance)
2. Little improvement is needed (generally good performance)
3. Improvement is needed (generally mediocre performance)
4. Considerable improvement is needed (generally poor performance)
5. Not a necessary skill or behavior for this course

Please make your decisions about the degree of improvement needed on the basis of what you think would be best for this particular course and your learning style. Try to consider each statement separately, rather than let your overall feelings about the instructor determine all the responses.

1. The instructor's explanation of course objectives
2. The instructor's explanation of the objectives for each class session and learning activity
3. The instructor's ability to arouse my interest when introducing an instructional activity
4. The instructor's explanation of the work expected from each student
5. The instructor's ability to maintain a clear relationship between the course content and the course objectives
6. The instructor's skill in clarifying the relationships among the various topics treated in the course
7. The instructor's skill in making clear the distinction between major and minor topics
8. The instructor's skill in adjusting the rate at which new ideas are covered so that the material can be followed and understood
9. The instructor's ability to clarify material which needs elaboration
10. The instructor's speaking skills
11. The instructor's ability to ask easily understood questions
12. The instructor's ability to ask thought-provoking questions
13. The instructor's ability to answer questions clearly and concisely
14. The instructor's overall effectiveness as a discussion leader
15. The instructor's ability to get students to participate in class discussions
16. The instructor's skill in facilitating discussions among students as opposed to discussions only between the instructor and students
17. The instructor's ability to wrap things up before moving on to a new topic
18. The instructor's ability to tie things together at the end of a class
19. The instructor's explanation of precisely how my performance is to be evaluated
20. The instructor's ability to design evaluation procedures which are consistent with course objectives
21. The instructor's performance in periodically informing me of my progress
22. The instructor's selection of materials and activities which are thought-provoking
23. The instructor's ability to select materials and activities which are not too difficult
24. The instructor's provision of variety in materials and activities
25. The instructor's ability to use a variety of teaching techniques
26. The instructor's demonstration of creativity in teaching methods

27. The instructor's management of day-to-day administrative details
28. The instructor's flexibility in offering options for individual students
29. The instructor's ability to take appropriate action when students appear to be bored
30. The instructor's availability for personal consultation
31. The instructor's ability to relate to people in ways which promote mutual respect
32. The instructor's maintenance of an atmosphere which actively encourages learning
33. The instructor's ability to inspire excitement or interest in the content of the course
34. The instructor's ability to relate the subject matter to other academic disciplines and real world situations
35. The instructor's willingness to explore a variety of points of view
36. The instructor's ability to get students to challenge points of view raised in the course
37. The instructor's performance in helping me to explore the relationship between my personal values and the course content
38. The instructor's performance in making me aware of value issues within the subject matter

SECTION II — *Other Information*

Please mark the appropriate response for each of the following items beside the correct statement number on the answer sheet.

39. Class:
    (1) freshman
    (2) sophomore
    (3) junior
    (4) senior
    (5) graduate student
40. Sex:
    (1) male
    (2) female
41. Grade point average:
    (1) less than 1.50 (lowest)
    (2) 1.50-2.49
    (3) 2.50-2.99
    (4) 3.00-3.49
    (5) 3.50-4.00 (highest)
42. In terms of the directions my life is taking, this course is:
    (1) relevant
    (2) somewhat relevant
    (3) irrelevant
    (4) I am unsure
43. In this course I am learning:
    (1) a great deal
    (2) a fair amount
    (3) very little
    (4) I am unsure
44. As a result of this course, my attitude toward the instructor is:
    (1) becoming more positive
    (2) becoming more negative
    (3) unchanged

45. As a consequence of participating in this course, my attitude toward the subject matter is:
    (1) becoming more positive
    (2) becoming more negative
    (3) unchanged
46. I would prefer that this course:
    (1) become more structured or organized
    (2) become less structured or organized
    (3) maintain about the present level of structure
47. Which of the following descriptions of student learning styles most nearly approximates your own? (choose only one)
    (1) I like to think for myself, work alone and focus on learning personally relevant content.
    (2) I prefer highly structured courses and will focus on learning what is required.
    (3) I try to get the "most out of classes" and like sharing my ideas with others and getting involved in class activities.
    (4) I am competitive, concerned about getting good grades and try to learn material so that I can perform better than others.
    (5) I am generally turned off as a student, uninterested in class activities and don't care to work with teachers or other students.
48. About how much time and effort have you put into this course compared to other courses of equal credit?
    (1) much more
    (2) somewhat more
    (3) about the same amount
    (4) somewhat less
    (5) much less
49. Generally, how valuable have you found the assigned readings in terms of their contribution to your learning in this course?
    (1) very valuable
    (2) fairly valuable
    (3) not very valuable
    (4) there have been no assigned readings
50. Overall, I would rate this course as:
    (1) excellent
    (2) good
    (3) mediocre
    (4) poor

DEFINITIONS AND TABS ITEMS

I. *Establishing a Learning Set:* the instructor's ability to create in students a cognitive and affective predisposition to engage in a given learning activity (questions 1-4)

II. *Logical Organization:* the instructor's skill in arranging and presenting course content and learning activities so that students understand the relationships among the various topics, ideas, issues, activities, etc., covered in the course (questions 5-7)

III. *Pacing:* the instructor's skill in introducing new topics or activities at an appropriate rate and in spending enough but not too much time developing those topics or activities (question 8)

IV. *Elaboration:* the instructor's skill in clarifying or developing an idea or topic (question 9)

V. *Expression:* the instructor's skills in using verbal (voice tone, inflection, pitch, emphasis) and nonverbal (facial expressions, gestures, body movements) techniques to increase the power and meaning of his communication (question 10)

VI. *Asking Questions:* the instructor's skill in using various questioning techniques at appropriate times and for a variety of instructional purposes (questions 11 and 12)

VII. *Responding to Questions:* the instructor's ability to answer questions clearly and concisely and with an appropriate emotional tone (question 13)

VIII. *Student Participation:* the instructor's skills in facilitating student participation in class discussions and in leading those discussions in fruitful directions (questions 14-16)

IX. *Closure:* the instructor's abilities to integrate the major points of a lesson or unit of instruction, to establish a cognitive link between the familiar and the new and to provide students with a feeling of accomplishment (questions 17 and 18)

X. *Evaluation:* the instructor's skills in specifying the criteria for evaluation, in designing valid and reliable evaluation procedures and in providing adequate feedback to students about their progress (questions 19-21)

XI. *Level of Challenge:* the instructor's skills in selecting course objectives, content and activities which challenge students' conceptual abilities but which are not too difficult for students to master (questions 22 and 23)

XII. *Methods and Materials:* the instructor's ability to use various teaching methods effectively and to provide variation in cognitive behaviors, classroom activities and instructional materials (questions 24 and 25)

XIII. *Creativity:* the instructor's ability to use creative and imaginative teaching strategies (question 26)

XIV. *Management:* the instructor's skill in performing the organizational and administrative tasks needed in providing learning experiences for students (question 27)

XV. *Flexibility/Individualization:* the instructor's ability to deal with different interests and abilities among students in his/her class and to respond constructively to student suggestions, criticisms, comments about his/her teaching strategies (questions 28-30)

XVI. *Interpersonal Relations:* the instructor's ability to relate to people in ways which promote mutual respect and rapport (question 31)

XVII. *Learning Environment:* the instructor's ability to create and maintain an atmosphere conducive to student involvement (overt and/or covert) and learning (question 32)

XVIII. *Enthusiasm/Inspiration:* the instructor's abilities to conduct and direct learning activities in a dynamic manner and to stimulate interest and excitement in course content and activities (question 33)

XIX. *Perspective:* the instructor's ability to establish a frame of reference for concepts, issues, ideas, etc. and to expand that frame of reference to include an increasingly wider variety of viewpoints, implications and relationships (questions 34-36)

XX. *Value Context:* the instructor's abilities (a) to identify explicitly his/her own values and to clarify the implications of those values in the selection and interpretation of subject matter; (b) to explore other values and their implications as they relate to his/her subject matter; and (c) to help students clarify their values and recognize the implications of those values for their personal and professional conduct (questions 37 and 38)

INSTRUMENT NUMBER SEVEN

TITLE: Instructor's Predictions of Students' Responses on TABS

SOURCE: Clinic to Improve University Teaching, University of Massachusetts

GENERAL DESCRIPTION: The TABS questionnaire collects three different types of information: student responses, instructor's self-assessment and instructor's prediction of student responses; instrument number seven is used to collect that third type of information.

INSTRUCTIONS FOR USE: On the "Instructor's Predictions of Students' Responses on TABS" the instructor is asked to estimate the number of students who will rate the teaching behaviors identified in the first thirty-eight questions as needing little or no improvement (a relative strength), as needing some or considerable improvement (a relative weakness) or as not being a necessary skill for that particular class. Since numbers are used, the instructor will need to know the exact number of students completing the questionnaire; usually it is best to make that count after the instrument has been distributed to the class and then have the instructor complete her predictions while the class is occupied with the questionnaire.

INSTRUCTOR'S PREDICTIONS OF STUDENTS' RESPONSES ON TABS

Instructor's Name:______________________________**Date:**____________

Number of students completing TABS:______________________________

As you read each of the first 38 TABS items, carefully estimate how many of your students will respond in each of the categories. Then write in the number of predicted responses in the appropriate column for each item. Note that the first column combines responses one and two; responses three and four are combined in the second column; the third column is for response category five.

---

	(1) No improvement needed, or (2) Little improvement needed	(3) Improvement needed, or (4) Considerable improvement needed	(5) Not a necessary skill or behavior		(1 or 2)	(3 or 4)	(5)
1.				20.			
2.				21.			
3.				22.			
4.				23.			
5.				24.			
6.				25.			
7.				26.			
8.				27.			
9.				28.			
10.				29.			
11.				30.			
12.				31.			
13.				32.			
14.				33.			
15.				34.			
16.				35.			
17.				36.			
18.				37.			
19.				38.			

INSTRUMENT NUMBER EIGHT

TITLE: TABS: A Variant Form

SOURCE: Instructional Development Service Project, McGill University

GENERAL DESCRIPTION: The TABS questionnaire can be modified in a number of ways — indeed, it would be possible to use any other reliable student evaluation instrument in place of TABS in the teaching improvement process. One such variant is presented here. It differs from the basic instrument in that there are fewer items, the items themselves have been shortened, fewer specific teaching skills are focused on and an open ended question has been added to the end of the questionnaire.

Most interesting about the approach the Instructional Development Service Project at McGill University has taken to TABS is that the questionnaire itself is computer generated. A bank of items from the original TABS questionnaire has been developed, which allows a professor, with the assistance of the faculty development consultant, to design her own questionnaire. This might include rearranging the order of the items, editing the items or making up entirely new ones in either section. In designing their own version of TABS, some faculty develop a greater sense of ownership for the instrument and thus are more interested in the results and show a greater willingness to act on them. Currently the project is experimenting with questions from other instruments as possible additions to their computer bank. For more information about this approach to TABS, contact

Dr. Christopher J. Daggett
Instructional Development Service Project
Macdonald Chemistry Building
McGill University
Montreal, Quebec H3C 3G1
Canada

INSTRUCTIONS FOR USE: Once an individual questionnaire has been developed, it is administered in exactly the same way as the basic TABS.

TEACHING ANALYSIS BY STUDENTS (TABS)

SECTION I

In this section there are some statements concerning a variety of specific teaching skills and behaviors. Please read each statement carefully and then indicate the extent to which you feel your instructor needs improvement. Respond to each statement by selecting one of the following:

1. No improvement is needed (very good or excellent performance)
2. Little improvement is needed (generally good performance)
3. Improvement is needed (generally mediocre performance)
4. Considerable improvement is needed (generally poor performance)
5. Not a necessary skill or behavior for this course

Please make your decisions about the degree of improvement needed on the basis of what you think would be the best for this particular course and your learning style. Try to consider each statement separately, rather than let your overall feelings about the instructor determine all the responses.

1. Explanation of course objectives
2. Explanation of the objectives for each class session and learning activity
3. Explanation of the work expected from each student
4. Skill in clarifying the relationships among the various topics treated in the course
5. Skill in making clear the distinction between major and minor topics
6. Skill in adjusting the rate at which new ideas are covered so that the material can be followed and understood
7. Ability to clarify material which needs elaboration
8. The instructor's speaking skills
9. Ability to ask easily understood questions
10. Ability to ask thought-provoking questions
11. Ability to answer questions clearly and concisely
12. Ability to get students to participate in class discussions
13. Ability to wrap things up before moving on to a new topic
14. Explanation of precisely how my performance is to be evaluated
15. Ability to design evaluation procedures which are consistent with course objectives
16. Performance in periodically informing me of my progress
17. Selection of materials and activities which are thought-provoking
18. Responsiveness to the needs of individual students
19. Availability for personal consultation
20. Ability to relate to people in ways which promote mutual respect
21. Maintenance of an atmosphere which actively encourages learning
22. Ability to inspire excitement or interest in the content of the course
23. Ability to relate the subject matter to other academic disciplines and real world situations
24. Willingness to explore a variety of points of view
25. Ability to get students to challenge points of view raised in the course
26. Performance in making me aware of value issues within the subject matter

SECTION II — Other Information

Please mark the appropriate response for each of the following items beside the correct statement number on the answer sheet.

27. In this course I am learning:
    1) a great deal
    2) a fair amount
    3) very little
    4) I am unsure
28. As a result of this course, my attitude toward the instructor is:
    1) becoming more positive
    2) becoming more negative
    3) unchanged, positive
    4) unchanged, negative
29. As a consequence of participating in this course, my attitude toward the subject matter is:
    1) becoming more positive
    2) becoming more negative
    3) unchanged, positive
    4) unchanged, negative
30. I would prefer that this course:
    1) become more structured or organized
    2) become less structured or organized
    3) maintain about the present level of structure
31. About how much time and effort have you put into this course compared to other courses of equal credit?
    1) much more
    2) somewhat more
    3) about the same amount
    4) somewhat less
    5) much less
32. Which of the following descriptions of student learning styles most nearly approximates your own? (Choose only one.)
    1) I like to work independently and focus on learning personally relevant content
    2) I prefer highly structured courses and will focus on learning what is required
    3) I like sharing my ideas with others and getting involved in class activities
    4) I am competitive and concerned about getting better grades than others
    5) I am generally turned off as a student and do not care to work with others
33. Generally, how valuable have you found the assigned readings in terms of their contribution to your learning in this course?
    1) very valuable
    2) fairly valuable
    3) not very valuable
    4) there have been no assigned readings
34. Overall, I would rate this course as:
    1) excellent
    2) good
    3) mediocre
    4) poor

Please make any additional comments or suggestions on the back of your response form which you feel might improve the instructor's teaching or the course.

DEFINITIONS AND TABS ITEMS

I. *Establishing a Learning Set:* the instructor's ability to create in students a cognitive and affective predisposition to engage in a given learning activity (questions 1-3).

II. *Logical Organization:* the instructor's skill in arranging and presenting course content and learning activities so that students understand the relationships among the various topics, ideas, issues, activities, etc., covered in the course (questions 4 and 5).

III. *Pacing:* the instructor's skill in introducing new topics or activities at an appropriate rate and in spending enough, but not too much, time developing those topics and activities (question 6).

IV. *Elaboration:* the instructor's skill in clarifying or developing an idea or topic (question 7).

V. *Expression:* the instructor's skills in using verbal (voice tone, inflection, pitch, emphasis) and nonverbal (facial expressions, gestures, body movements) techniques to increase the power and meaning of his/her communication (question 8).

VI. *Asking Questions:* the instructor's skill in using various questioning techniques at appropriate times and for a variety of instructional purposes (questions 9 and 10).

VII. *Responding to Questions:* the instructor's ability to answer questions clearly and concisely and with an appropriate emotional tone (question 11).

VIII. *Student Participation:* the instructor's skills in facilitating student participation in class discussions and in leading those discussions in fruitful directions (question 12).

IX. *Closure:* the instructor's abilities to integrate the major points of a lesson or unit of instruction, to establish a cognitive link between the familiar and the new and to provide students with a feeling of accomplishment (question 13).

X. *Evaluation:* the instructor's skills in specifying the criteria for evaluation, in designing valid and reliable evaluation procedures and in providing adequate feedback to students about their progress (questions 14-16).

XI. *Level of Challenge:* the instructor's skills in selecting course objectives, content and activities which challenge students' conceptual abilities but which are not too difficult for students to master (question 17).

XII. *Flexibility/Individualization:* the instructor's ability to deal with differing interests and abilities among students in his/her class and to respond constructively to student suggestions, criticisms, comments about his/her teaching strategies (questions 18 and 19).

XIII. *Interpersonal Relations:* the instructor's ability to relate to people in ways which promote mutual respect and rapport (question 20).

XIV. *Learning Environment:* the instructor's ability to create and maintain an atmosphere conducive to student involvement (overt and/or covert) and learning (question 21).

XV. *Enthusiasm/Inspiration:* the instructor's abilities to conduct and direct learning activities in a dynamic manner and to stimulate interest and excitement in course content and activities (question 22).

XVI. *Perspective:* the instructor's ability to establish a frame of reference for concepts, issues, ideas, etc., and to expand that frame of reference to include an increasingly wider variety of viewpoints, implications and relationships (questions 23-25).

XVII. *Value Context:* the instructor's abilities: a) to identify explicitly his/her own values and to clarify the implications of those values in the selection and interpretation of subject matter; b) to explore other values and their implications as they relate to his/her subject matter; and c) to help students clarify their values and recognize the implications of those values for their personal and professional conduct (question 26).

INSTRUMENT NUMBER NINE

TITLE: Teaching Analysis by Students: A Computer Print-out

SOURCE: Clinic to Improve University Teaching, University of Massachusetts

GENERAL DESCRIPTION: At the outset, it is important to point out that the availability of a computer is not essential to the teaching improvement process. Given a little time and the assistance of a pocket calculator, the essential information can be extracted from the TABS questionnaire; a sample form for hand calculation is presented following the computer print-out. If possible, however, it is useful to have access to a computer to assist in the processing of this data. Some time can be saved and the information can be presented in ways that make it maximally useful.

INSTRUCTIONS FOR USE: The following basic print-out is divided into four separate parts. For additional information about the availability of this program, contact either the Instructional Development Program, University of Rhode Island or the Clinic to Improve University Teaching, University of Massachusetts.

Part One. The first section of the print-out presents a comparison of the teacher's prediction of the student response on each of the items in Section I and the actual student responses. Thus on the sample print-out, the instructor predicted on the first question that thirty students would rank him in either the first or second category and seventeen in the third or fourth category; actually forty-five students rated him in the first two categories and only one in the last two. The instructor did not predict any responses in category five and none were received.

Part Two. In part two, the number and percent of student responses for each of the first thirty-eight items is presented along with the instructor's self-assessment (indicated by an asterisk). On question eight, for instance, seventeen students (36.17%) responded in category one, twenty-one (44.68%) in category two, eight (17.02%) in category three and one (2.13%) in category four; no responses were received in the fifth category. On this question the instructor rated himself in the third category.

Part Three. This part of the print-out presents the students' responses to the first thirty-eight items in the somewhat more dramatic form of a histogram for each.

Part Four. The final part of the print-out presents a summary of Section II of the TABS questionnaire.

```
                           TEACHING ANALYSIS BY STUDENTS

                          GENERAL QUESTIONNAIRE ANALYSIS

                                     PART ONE                         (02/13/76)
*********************************************************************************

                  TEACHER PREDICTION / STUDENT RESULT COMPARISON
      IN BAR GRAPHS, T'S SHOW TEACHER PREDICTIONS, S'S SHOW STUDENT RESPONSE


                            ESTABLISHING LEARNING SET
                            -------------------------


                          0   5  10  15  20  25  30  35  40  45  50
                          +---+---+---+---+---+---+---+---+---+---+---
1.  THE INSTRUCTOR'S EXPLANATION OF COURSE OBJECTIVES                *
                                                                     *
                          *                                          *
                          *                                          *
       STRONG (1 & 2)     *                                          *
                       30 *TTTTTTTTTTTTTTTTTTTTTTTT                  *
                       45 *SSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSS      *
                          *                                          *
                          *                                          *
        WEAK (3 & 4)      *                                          *
                       17 *TTTTTTTTTTTTTT                            *
                        1 *S                                         *
                          *                                          *
                          *                                          *
     NOT NECESSARY (5)    *                                          *
                        0 *                                          *
                        0 *                                          *
                          *                                          *
                          *                                          *
2.  THE INSTRUCTOR'S EXPLANATION OF THE OBJECTIVES FOR EACH          *
    CLASS SESSION AND LEARNING ACTIVITY                              *
                          *                                          *
                          *                                          *
       STRONG (1 & 2)     *                                          *
                       25 *TTTTTTTTTTTTTTTTTTTT                      *
                       40 *SSSSSSSSSSSSSSSSSSSSSSSSSSSSSSSS          *
                          *                                          *
                          *                                          *
        WEAK (3 & 4)      *                                          *
                       22 *TTTTTTTTTTTTTTTTTT                        *
                        7 *SSSSSS                                    *
                          *                                          *
                          *                                          *
     NOT NECESSARY (5)    *                                          *
                        0 *                                          *
                        0 *                                          *
                          *                                          *
                          *                                          *
```

```
                         TEACHING ANALYSIS BY STUDENTS

                        GENERAL QUESTIONNAIRE ANALYSIS
                                   PART TWO                                   (02/13/76)
************************************************************************************************
ASTERISKS (*) REPRESENT SELF-ASSESSMENT              FIRST ROW FOR EACH QUESTION REPRESENTS CELL COUNTS
ESTABLISHING LEARNING SET                            SECOND ROW REPRESENTS PERCENTAGES
----------------------------------------------
                                                          21        24         1         0         0
1.  THE INSTRUCTOR'S EXPLANATION OF COURSE OBJECTIVES  45.65    52.17*      2.17      0.00      0.00
2.  THE INSTRUCTOR'S EXPLANATION OF THE OBJECTIVES FOR EACH   19        21         7         0         0
    CLASS SESSION AND LEARNING ACTIVITY                40.43     44.68    14.89*      0.00      0.00

3.  THE INSTRUCTOR'S ABILITY TO AROUSE MY INTEREST WHEN   23        21         3         0         0
    INTRODUCING AN INSTRUCTIONAL ACTIVITY              48.94    44.68*      6.38      0.00      0.00

4.  THE INSTRUCTOR'S EXPLANATION OF THE WORK EXPECTED     14        17        10         1         2
    FROM EACH STUDENT                                  31.82    38.64*     22.73      2.27      4.55
**********************************************************************************************

LOGICAL ORGANIZATION
----------------------------------------------

5.  THE INSTRUCTOR'S ABILITY TO MAINTAIN A CLEAR RELATIONSHIP   24        18         3         0         1
    BETWEEN THE COURSE CONTENT AND THE COURSE OBJECTIVES   52.17    39.13*      6.52      0.00      0.00

6.  THE INSTRUCTOR'S SKILL IN CLARIFYING THE RELATIONSHIPS AMONG   19        23         5         0         0
    THE VARIOUS TOPICS TREATED IN THE COURSE           40.43     48.94    10.64*      0.00      0.00

7.  THE INSTRUCTOR'S SKILL IN MAKING CLEAR THE DISTINCTION   12        21        13         0         1
    BETWEEN MAJOR AND MINOR TOPICS                     25.53    44.68*     27.66      0.00      2.13
**********************************************************************************************

PACING
----------------------------------------------

8.  THE INSTRUCTOR'S SKILL IN ADJUSTING THE RATE AT WHICH NEW   17        21         8         1         0
    IDEAS ARE COVERED SO THAT THE MATERIAL CAN BE FOLLOWED   36.17     44.68    17.02*      2.13      0.00
    AND UNDERSTOOD
**********************************************************************************************

ELABORATION
----------------------------------------------

9.  THE INSTRUCTOR'S ABILITY TO CLARIFY MATERIAL WHICH   19        24         4         0         0
    NEEDS ELABORATION                                  40.43     51.06     8.51*      0.00      0.00
*************************************************************************************
EXPRESSION
----------------------------------------------
10. THE INSTRUCTOR'S SPEAKING SKILLS                      26        16         5         0         0
                                                       55.32    34.04*     10.64      0.00      0.00
```

TEACHING ANALYSIS BY STUDENTS

GENERAL QUESTIONNAIRE ANALYSIS

PART THREE

(02/13/76)

```
*************************************************************************************
1.  THE INSTRUCTOR'S EXPLANATION OF COURSE OBJECTIVES

                -+----------++----------++----------++----------++----------+-
                 I                                                            I
                 I                                                            I
                 I                                                            I
                 I                                                            I
              36 I                                                            I 36
                 I                                                            I
                 I                                                            I
                 I                                                            I
                 I                                                            I
                 I                                                            I
              30 I                                                            I 30
                 I                                                            I
                 I                                                            I
                 I                                                            I
                 I                                                            I
                 I                                                            I
              24 I                                                            I 24
                 I                                                            I
                 I            TXXXXXXXXXXT                                    I
                 I            TXX      XXT                                    I
                 ITXXXXXXXXXXTTXX  24  XXT                                    I
                 ITXX      XXTTXX      XXT                                    I
              18 ITXX  21  XXTTXXXXXXXXXXT                                    I 18
                 ITXX      XXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
              12 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I 12
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
               6 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I 6
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXT                                    I
                 ITXXXXXXXXXXTTXXXXXXXXXXTTXXXXXXXXXXT                        I
                -+----------++----------++----------++----------++----------+-

                       1           2           3           4           5

CELL COUNTS --        21          24           1           0           0
   PERCENTS---      45.65       52.17        2.17        0.00        0.00

                  OUT OF A TOTAL OF 47 STUDENTS, 1 DID NOT RESPOND
```

```
                         TEACHING ANALYSIS BY STUDENTS

                        GENERAL QUESTIONNAIRE ANALYSIS
                                   PART FOUR                          (02/13/76)
*****************************************************************************

               SUMMARY OF SECTION II --- GENERAL BACKGROUND ITEMS


39.  CLASS
                    1.  FRESHMAN                             24 = 51.1 PCT
                    2.  SOPHOMORE                             8 = 17.0 PCT
                    3.  JUNIOR                                8 = 17.0 PCT
                    4.  SENIOR                                7 = 14.9 PCT
                    5.  GRADUATE STUDENT                      0 =  0.0 PCT

*****************************************************************************
40.  SEX

                    1.  MALE                                 31 = 66.0 PCT
                    2.  FEMALE                               16 = 34.0 PCT
*****************************************************************************
41.  WHAT IS YOUR OVERALL GRADE AVERAGE?
                    1.  LESS THAN 1.50 (LOWEST)               0 = 00.0 PCT
                    2.  1.50 - 2.49                           9 = 19.6 PCT
                    3.  2.50 - 2.99                          16 = 34.8 PCT
                    4.  3.00 - 3.49                          15 = 32.6 PCT
                    5.  3.50 - 4.00 (HIGHEST)                 6 = 13.0 PCT
*****************************************************************************
42.  IN TERMS OF THE DIRECTIONS MY LIFE IS TAKING, THIS COURSE IS
                    1.  RELEVANT                             21 = 44.7 PCT
                    2.  SOMEWHAT RELEVANT                    24 = 51.1 PCT
                    3.  IRRELEVANT                            0 = 00.0 PCT
                    4.  I AM UNSURE                           2 =  4.3 PCT
```

HANDOUT NUMBER TWO

TITLE: Information Review: Some Suggestions

SOURCE: Steven R. Phillips

GENERAL DESCRIPTION: Even though the instructor reviews information from only two sources — the TABS questionnaire and the video-tape(s) of his class — both of these are so rich with information that there is some danger that he will be overwhelmed. The following list of suggestions has been found helpful in guiding the instructor through this material. The more carefully both the instructor and the faculty development consultant have thought through this information the more effective and efficient will be the data review meeting.

INSTRUCTIONS FOR USE: "Information Review: Some Suggestions" is simply given to the instructor before he begins his review. It should, of course, not be presented as a definitive outline but rather as a list of suggestions, some of which he may find helpful.

INFORMATION REVIEW:
SOME SUGGESTIONS

In preparation for the data review meeting you are being asked to look over the results of the TABS questionnaire and the video-tape(s) of your class. The following are some suggestions to assist you in that process.

I. Teaching Analysis by Students

A. During your review of TABS you may find it helpful to have a copy of the questionnaire and of the "Definitions and TABS Items" on hand.

B. The individual items on TABS have deliberately not been weighted or placed in any priority; some skills and behaviors will be more important to some teachers than others. Are there any areas identified either by the individual TABS questions or by the twenty teaching skills identified on the "Definitions and TABS Items" that are of particular concern to you? Are you satisfied with those ratings? Are some ratings of more concern to you than others?

C. It is frequently useful to look for significant areas of agreement or disagreement between your prediction of the student ratings and the actual ratings and between your self-assessment and the ratings. Can you identify any of these areas? How do you account for significant disagreement? Are any of these areas ones you are particularly concerned about?

D. Is there any contradictory information in the print-out or information you don't fully understand? What are some ways you and your consultant might go about clarifying any of these?

II. Video-tapes

A. If you have never seen yourself on video-tape before you may naturally find yourself paying more attention at first to your appearance and mannerisms than to your teaching. Take your time and replay the tape as often as you like until you become comfortable with yourself and can focus more directly on your teaching.

B. If you are like most instructors, you will see yourself doing some things on the tape that you really like. What are they?

C. You may see yourself doing things you don't like. What are they? Why are you concerned with them?

D. Do certain incidents or behaviors appear to repeat themselves? Is there a particular pattern to your teaching?

E. Can you identify any crucial points in the tape where a number of concerns seem to focus or come together?

III. General

A. Are there any significant areas of agreement or apparent disagreement between the image of your teaching as presented on the TABS print-out and on the video-tape? What are they?

B. Do these two sources taken together help you to identify any areas of your teaching that are particularly strong? Areas in which you have some serious concern? What are they?

C. What are the most important issues to emerge from this review that you would like to discuss in the data review meeting?

INSTRUMENT NUMBER TEN

Title: Teaching Analysis by Students: A Modified Questionnaire

Source: Clinic to Improve University Teaching, University of Massachusetts

General information: During the final phase of the teaching improvement process it is necessary to re-collect data about the instructor's teaching in an attempt to identify the extent to which improvement has taken place. Although it would be possible to re-administer the entire TABS questionnaire, much of the time and effort involved in so doing would be wasted and much of the information redundant. Instead, it is more effective to develop a shorter version of the TABS questionnaire that will focus more directly on a limited number of issues and provide information the basic TABS does not. The modified questionnaire which follows presents a page of instructions for students which can be used with all classes and a sample list of questions for a particular class.

Instructions for use: Since the modified TABS is designed to meet the particular needs of individual instructors the forms will need to be prepared locally. The directions for students are common to all classes and merely need to be photoduplicated, not retyped.

A limited number — ten to fifteen items — should be selected for the modified TABS from the original thirty-eight on Section I of the standard questionnaire; the wording of these items should not be changed. Selection of items for the modified TABS may be made immediately after the data review meeting — this is often a useful way of really beginning to focus in on a specific set of skills or behaviors — or may be delayed until shortly before the final stage, thus allowing for a selection of items that reflect what actually happened during the improvement stage. In any event, the selection of items that reflect what actually happened during the improvement stage should be based on one of three criteria: (1) on those skills or behaviors which have been identified as the target for improvement efforts; (2) on those skills or behaviors which are most likely to be affected by improvement efforts even though they are not necessarily target areas; and (3) on those skills or behaviors which are of interest to either the instructor or the faculty development consultant for whatever reasons. The selected items should be typed in a manner similar to the following sample, duplicated and distributed to the class with directions for students.

TEACHING ANALYSIS BY STUDENTS:
A MODIFIED QUESTIONNAIRE

Directions to Students:

In this questionnaire there are some statements concerning a variety of specific teaching skills and behaviors. We are interested in your opinions about two questions:

I. TO WHAT EXTENT DO YOU THINK YOUR INSTRUCTOR'S PERFORMANCE OF EACH OF THESE BEHAVIORS HAS IMPROVED DURING THIS SEMESTER?

Please answer this question for each statement by *checking* one of the following responses:

a) much improvement
b) some improvement
c) no apparent change
d) performance is worse

II. TO WHAT EXTENT DO YOU FEEL YOUR INSTRUCTOR STILL NEEDS IMPROVEMENT IN PERFORMING EACH OF THESE BEHAVIORS?

Please answer this question by *circling the number* corresponding to one of the following responses:

1. *No improvement is needed* (very good or excellent performance)
2. *Little improvement is needed* (generally good performance)
3. *Improvement is needed* (generally mediocre performance)
4. *Considerable improvement is needed* (generally poor performance)
5. *Not a necessary skill or behavior for this course*

Please read each of the statements carefully and indicate your honest opinions about the instructor's teaching performance.

Thank you for your cooperation.

A SAMPLE MODIFIED TABS

	QUESTION I:	QUESTION II:
1. The instructor's explanation of the objectives for each class session and learning activity	_____ a) much improvement _____ b) some improvement _____ c) no apparent change _____ d) performance is worse	1 2 3 4 5
2. The instructor's skill in clarifying the relationships among the various topics treated in the course	_____ a) much improvement _____ b) some improvement _____ c) no apparent change _____ d) performance is worse	1 2 3 4 5
3. The instructor's skill in making clear the distinction between major and minor topics	_____ a) much improvement _____ b) some improvement _____ c) no apparent change _____ d) performance is worse	1 2 3 4 5
4. The instructor's skill in adjusting the rate at which new ideas are covered so that the material can be followed and understood	_____ a) much improvement _____ b) some improvement _____ c) no apparent change _____ d) performance is worse	1 2 3 4 5
5. The instructor's ability to clarify material which needs elaboration	_____ a) much improvement _____ b) some improvement _____ c) no apparent change _____ d) performance is worse	1 2 3 4 5
6. The instructor's speaking skills	_____ a) much improvement _____ b) some improvement _____ c) no apparent change _____ d) performance is worse	1 2 3 4 5
7. The instructor's ability to ask thought-provoking questions	_____ a) much improvement _____ b) some improvement _____ c) no apparent change _____ d) performance is worse	1 2 3 4 5
8. The instructor's ability to inspire excitement or interest in the content of the course	_____ a) much improvement _____ b) some improvement _____ c) no apparent change _____ d) performance is worse	1 2 3 4 5

PLEASE USE THE OTHER SIDE OF THIS PAGE TO MAKE ANY ADDITIONAL COMMENTS OR SUGGESTIONS WHICH YOU FEEL MIGHT IMPROVE THE INSTRUCTOR'S TEACHING OR THE COURSE.

INSTRUMENT NUMBER ELEVEN

TITLE: Modified TABS: A Print-out

SOURCE: Clinic to Improve University Teaching, University of Massachusetts and the Instructional Development Program, University of Rhode Island

GENERAL DESCRIPTION: For each item on the modified TABS a contingency table is developed. This allows the instructor and the faculty development consultant to determine not only how students responded separately to the two questions on the modified questionnaire but also how many students responded to various combinations of possible responses available on the two questions. For instance, a contingency table will be able to indicate how many students felt that the instructor's performance on a particular item has shown some improvement (a response from Question I) *and* still is in need of improvement (a response from Question II). This combination of responses is frequently of much more value in determining progress and planning future improvement efforts than simple tabulations of responses to each question separately.

As is the case with the standard TABS questionnaire, computer access is helpful but not essential. The following instructions for use explain how to read a computerized print-out of a contingency table, then how to generate such a table by hand.

INSTRUCTIONS FOR USE: A contingency table is developed for each item on the modified TABS. On the following print-out for one sample item, the letters down the side correspond to the first question concerning the degree of improvement the students have seen during the semester, while the numbers across the top correspond to the second question concerning the extent to which the students feel the instructor still needs improvement. The first number in each box represents the number of students who have responded to each particular combination of the two questions; the second number indicates the percent that response represents. Thus, looking at the upper left box on the sample print-out, we can see that four students (8.2% of those responding) feel that the instructor has shown much improvement on this item and that no further improvement is needed. The responses for questions one and two are indicated separately in the row and column totals. Nineteen students (38.8%) indicated, for instance, that they had seen some improvement on this item over the semester; twenty-two students (44.9%) feel that little further improvement is needed.

A contingency table is relatively easy to develop by hand. A table like that on the print-out is drawn for each item. Each student's response to that item is read and a mark is placed in the appropriate box. Thus, if on the modified TABS, a student had checked (b) and circled (3), the mark would be recorded in the second row, third column. Once marks have been made for each student response on each item, row and column totals can be made and percentages calculated if desired. The table is then read in exactly the same way as the one provided by the computer.

```
             05/03/76       MR. PHILOSOPHY                                   G>PC6D6D60*WH 0<

 GROUP 03    THE INSTRUCTOR'S SKILL IN FACILITATING DISCUSSIONS AMONG STUDENTS AS OPPOSED TO
             DISCUSSIONS ONLY BETWEEN THE INSTRUCTOR AND STUDENTS


     FIRST NO. IN EACH BOX REPRESENTS CELL COUNT
     SECOND NO. REPRESENTS PERCENTAGE

                    1          2          3          4          5         ROW TOTALS
             * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *
             *          *          *          *          *          *
        A    *  4/8.2   *  2/4.1   *  0/0.0   *  0/0.0   *  0/0.0   *     6/ 12.2
             *          *          *          *          *          *
             * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *
             *          *          *          *          *          *
        B    *  4/8.2   * 11/22.4  *  4/8.2   *  0/0.0   *  0/0.0   *    19/ 38.8
             *          *          *          *          *          *
             * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *
             *          *          *          *          *          *
        C    *  2/4.1   *  9/18.4  * 11/22.4  *  2/4.1   *  0/0.0   *    24/ 49.0
             *          *          *          *          *          *
             * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *
             *          *          *          *          *          *
        D    *  0/0.0   *  0/0.0   *  0/0.0   *  0/0.0   *  0/0.0   *     0/  0.0
             *          *          *          *          *          *
             * * * * * * * * * * * * * * * * * * * * * * * * * * * * * *

   COLUMN        10/ 20.4   22/ 44.9   15/ 30.6    2/  4.1    0/  0.0
   TOTALS

             TOTAL NO. RESPONDING TO BOTH QUESTIONS =   49

             NUMBER OF ANSWERS DISCARDED =     0
```

INSTRUMENT NUMBER TWELVE

TITLE: Instructor's Evaluation of the Teaching Improvement Process

SOURCE: Clinic to Improve University Teaching, University of Massachusetts

GENERAL DESCRIPTION: The following questionnaire consists of thirty-eight suggested multiple choice questions on various stages of the teaching improvement process and a final open invitation to comment on the process.

INSTRUCTIONS FOR USE: The entire questionnaire can be completed at the end of the teaching improvement process or after several stages. The first twenty-four questions, for instance, are usually completed at the end of the data review meeting, the rest held for later. Certainly if the instructor does not choose to proceed with the improvement stage, those questions and an open ended comment on the process should be completed at that time.

INSTRUCTOR'S EVALUATION
OF
THE TEACHING IMPROVEMENT PROCESS

Faculty development would like to get your opinions about the teaching improvement process, the procedures and instruments which it entails and the faculty development consultant's performance in working with you. Your evaluation will be useful in improving procedures and instruments and in shaping plans for the future.

Each of the following descriptions is followed by a series of statements related to that stage of the process. There are no "correct" responses, but please indicate your opinion about each statement by checking the most appropriate response. Your responses will be of most value to us if they are thoughtful and truly reflect your judgment.

Thank you for your cooperation.

Stage I — Initial Meeting

The purpose of this initial meeting was to familiarize you with the procedures and instruments involved in the teaching improvement process and to clarify your initial expectations of the process. After the following statements, please check the response which best reflects your feeling.

1. The procedures used in the teaching improvement process were clearly explained to me.
   ______Strongly agree
   ______Agree
   ______Disagree
   ______Strongly disagree
   ______Undecided

2. Procedures and instruments for collecting data about my teaching were *not* made clear to me.
   ______Strongly agree
   ______Agree
   ______Disagree
   ______Strongly disagree
   ______Undecided

3. At the end of the initial meeting, I felt fairly clear about what was going to happen.
   ______Strongly agree
   ______Agree
   ______Disagree
   ______Strongly disagree
   ______Undecided

Stage II — Initial Interview

The purpose of this interview was to gather information about your course and your teaching and to allow you to establish a working relationship with the faculty development consultant.

4. I do *not* believe that the preliminary information about my course and my teaching methods that was gathered through the Course Information Form, the initial interview and the course materials which I made available gave the faculty development consultant an adequate perspective from which to assess data to be collected later.

______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

5. During the initial interview, I was able to clarify my personal objectives in working with the consultant.

______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

6. This initial stage did *not* give me a very clear idea of how much of my time and my class's time would be required by the data collection procedures.

______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

7. The faculty development consultant failed to answer some of my questions satisfactorily.

______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

8. All in all, I am convinced that the initial interview was well worth my time and effort.

______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

Stage III — Data Collection

Throughout the third stage, data collection continued. Efforts were directed toward collecting a variety of information, all focused on teaching performance.

9. The potential value of each type of data which was collected (observation, videotape, TABS, self-assessment and prediction of student responses to TABS) was clearly explained to me.
   ______Strongly agree
   ______Agree
   ______Disagree
   ______Strongly disagree
   ______Undecided

10. The consultant's observation and videotaping of my class was disruptive or otherwise poorly handled.
   ______Strongly agree
   ______Agree
   ______Disagree
   ______Strongly disagree
   ______Undecided

11. I was *not* happy with the way the administration of the TABS questionnaire was handled.
   ______Strongly agree
   ______Agree
   ______Disagree
   ______Strongly disagree
   ______Undecided

12. The procedures for completing the TABS self-assessment and prediction of student responses were explained clearly.
   ______Strongly agree
   ______Agree
   ______Disagree
   ______Strongly disagree
   ______Undecided

13. Generally, I feel that the data which was collected was sufficiently comprehensive to provide the basis for making decisions about my significant teaching strengths and weaknesses.
   ______Strongly agree
   ______Agree
   ______Disagree
   ______Strongly disagree
   ______Undecided

Stage IV — Data Review Meeting

This stage provided you and the consultant with an opportunity to review the data and to identify your teaching strengths and any significant instructional problems. If you decided to go on to the teaching improvement strategy phase, you should also have made decisions about which teaching skills or behaviors to work toward improving.

14. I did *not* find the opportunity to preview the video-tape and TABS results by myself useful.
_____Strongly agree
_____Agree
_____Disagree
_____Strongly disagree
_____Undecided

15. The computer print-out of the TABS results was confusing or otherwise *not* an adequate display of the data.
_____Strongly agree
_____Agree
_____Disagree
_____Strongly disagree
_____Undecided

16. The faculty development consultant appeared to be well prepared for our meeting.
_____Strongly agree
_____Agree
_____Disagree
_____Strongly disagree
_____Undecided

17. The faculty development consultant did a fine job of presenting and explaining the data which was collected about my teaching performance.
_____Strongly agree
_____Agree
_____Disagree
_____Strongly disagree
_____Undecided

18. Even with the consultant's assistance, I was overwhelmed by the amount and/or the variety of data which was made available to me.
_____Strongly agree
_____Agree
_____Disagree
_____Strongly disagree
_____Undecided

19. We were able to identify some significant teaching strengths which were indicated by the data.
_____Strongly agree
_____Agree
_____Disagree
_____Strongly disagree
_____Undecided

20. The faculty development consultant and I did *not* agree on significant teaching problems which were substantiated by the available data.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

21. The consultant was able to suggest practical and potentially worthwhile teaching improvement strategies for me to undertake.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

22. I was *not* convinced that I should go on to the teaching improvement strategy phase of the instructional improvement process.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

23. So far, I was convinced that the faculty development consultant is competent to work with me.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

24. Please indicate your judgment of the value of each type of data about your teaching on the following scale: VU—very useful; SU—somewhat useful; NU—not very useful.
______Classroom observation and comments
______Video-taping of my teaching
______Student TABS results
______My self-assessment of TABS
______Comparison of my predictions with actual student TABS results.

Stage V — Teaching Improvement Strategies

If you and the faculty development consultant identified any significant instructional problems or areas for experimentation, the next step was to plan and try out potentially useful teaching improvement strategies. After each of the following statements, please check the response which best reflects your feeling.

25. I was impressed by the consultant's ability to suggest a wide variety of possible teaching improvement strategies.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

26. The consultant was *not* adequately sensitive to my personal style, responsibilities and specific instructional problems when suggesting possible teaching improvement strategies.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

27. The teaching improvement strategies which I tried, or which were suggested to me, were generally explained to my satisfaction.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

28. The consultant was of real help to me as I tried to implement teaching improvement strategies.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

29. Adequate procedures for assessing the effectiveness of the teaching improvement strategies which I tried were *not* developed or used.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

30. Overall, I believe that the teaching improvement strategies which I tried helped me improve my teaching.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

Stage VI — Data Re-collection and Review

During the final stage of the teaching improvement process, data about your teaching was collected again. That data was reviewed for evidence of teaching improvement and to provide you with an updated summary of your teaching strengths and any significant teaching problems.

31. Please indicate your judgment of the value of each type of data for indicating possible changes in the quality of your teaching on the following scale: VU—very useful; SU—somewhat useful; NU—not very useful; M—misleading
______Classroom observation
______My own sense of change
______Video-taping of my teaching
______Student responses to modified TABS

32. I found it difficult to interpret the final questionnaire data as it was displayed and explained.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

33. I thought that efforts to collect data about changes in my teaching performance were comprehensive and satisfactory.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

34. After the final data collection process, the consultant helped me identify current teaching strengths and any significant teaching problems.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

35. Overall, I found the teaching improvement process useful and worth my time and effort.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

36. I would *not* recommend the teaching improvement process to my colleagues.
______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

37. I found the faculty development consultant competent and helpful.

______Strongly agree
______Agree
______Disagree
______Strongly disagree
______Undecided

38. Faculty development would appreciate any additional comments on your experience with the teaching improvement process.

Chapter Six

Consultation On Course Design

As we discussed in Chapter One, faculty development is a product of the last ten years. This new endeavor, however, did not step into a void, for several other professional development approaches of a similar nature had been in existence for at least a decade before faculty development became the most widely known vehicle for the improvement of instruction.

Considerable attention has of course been given in the past to the education and training of primary and secondary teachers, and a number of methodologies to emerge from that effort have been fully integrated into faculty development. The teaching laboratories and classroom observation techniques discussed in Chapters Four and Five of Volume One are products of teacher education programs, as is the teaching improvement process outlined in Chapter Five of this volume. A second set of procedures, however, has been less fully integrated into faculty development. Usually called "instructional development," this approach to instructional improvement emerged in the early 1960's from the context of audio-visual services. Leaders in that field recognized that instructional technologies would not be effectively used by college and university faculty if the function of the audio-visual specialist was only to distribute, repair and promote the use of equipment. Rather, it was argued that these services must be fully integrated into a program that provides expert consultation to faculty in the design and implementation of any unit of instruction, ranging from an individual course to the entire curriculum of a department or college.

This chapter will focus on the methodologies of course design that have been developed in several successful instructional development programs now operating in a number of American colleges and universities. We believe that the creative integration of faculty and instructional development can be among the most dramatic new sources of ideas, materials and inspiration for practitioners in both fields. This chapter will also suggest some insights on course design that have emerged from other fields and several ideas that have been offered by faculty development in response to a number of inherent weaknesses in most instructional development approaches to course and curricular design. Specifically, this chapter will first identify five major principles of course design that have been found useful to faculty in reconsidering the structure of courses that they are now teaching. We will then look at five different models of consultation on course design.

A. General Principles of Course Design

1. Individualization of Instruction

Faculty development emerged partially in response to an increasing diversity of student learning needs and styles, and instructional development has also attempted to be responsive to these differences. Those instructional methods which have been most frequently and successfully advocated by instructional developers, such as the Keller Plan and audio-tutorial methods, provide students with one or more of a series of options concerning time, location and/or method of instruction. Partly as a result of these efforts, individualization of instruction has become central to the philosophy and goals of instructional development, as witnessed by the prominence of this principle in a major work in this area by Robert Diamond and his colleagues at Syracuse University titled *Instructional Development for Individualized Learning in Higher Education*. Diamond believes that an academic program which purports to be individualized should incorporate or at least allow for six basic and equally important elements:

1. *Flexible Time Frames*

   Since students learn at different rates, the instructional program should be flexible enough to allow a student to move through it as rapidly or as slowly as he can in order to reach the established goals. . . .

2. *Diagnosis, Remediation, and Exemption*

   Students enter a university or college with a wide range of academic backgrounds and basic skill proficiencies. . . . If we are to be sensitive to the needs and abilities of each student, it is essential that programs provide for both remediation and exemption on a unit-by-unit basis. The traditional entire-course exemption test program or "bonehead" non-credit course concept is simply too broad in scope to meet the needs of students on a realistic basis, since the majority of students fall between these two extremes. . . .

3. *Content Options*

   In most college courses, especially the introductory ones, the students possess a wide range of talents and special interests. . . . Traditionally, this mix has tended to frustrate both the student and the teacher as an attempt was made to evolve a course that would meet the diverse needs of the different populations. . . . The options, designed to permit students to relate the basic subject matter to a specific field of interest, can prove to be not only instructionally effective, but also can substantially increase the relevance of a course for each student. . . .

4. *Student Evaluation—Alternate Forms and Flexible Times*

   Flexible time frames require an evaluation program geared to meet the timing needs of the student. In courses where written essays are used, the problem is minor. However, in those instances where objective tests are used, alternative forms and a means for administering them are required. . . .

5. *A Choice of Locations*

   As more elements of instruction move into the independent learning mode, it becomes possible to place these units in the library or in study areas located within the dormitories. . . . One of the more interesting questions that must be answered as more institutions explore the "open university" concept and place increased emphasis on adult and continuing education is "what elements of the academic program *must* take place and *can only* take place on the college campus?"

6. *Alternate Forms of Instruction*

   Different students learn more effectively in different types of learning situations. . . . There are times . . . when alternate styles of instruction can be made available. . . . Two specific approaches have proven practical:

   A. *A combination of alternate forms of independent learning materials with individual counseling and instruction. . . .*

   B. *Providing the student with a choice of instructional modes.*[1]

If a faculty member or department takes these six elements seriously, then significant changes in the design of courses are almost inevitable. Careful consideration, however, must be given to the assumptions faculty make about their instruction and to the implications genuine individualization of learning will have for them. Unless an opportunity is provided to examine those assumptions and implications in a supportive environment, many faculty will either reject individualized instruction outright as impractical or will claim that they are already doing this, even though from an objective point of view their courses violate one or more of Diamond's criteria.

2. Matching Teaching and Learning Styles

A second approach to course design encourages faculty to confront the fact that learning needs and styles differ from student to student and that these needs and styles may be incompatible with the preferred teaching style of individual instructors. In designing an effective instructional program, it is essential that a faculty member be sensitive to these differences.

The first volume of this handbook contains a chapter on teaching and learning styles which briefly describes several taxonomies in both areas. Although these touch on a number of variables, they are all primarily focused on the interpersonal dimension of teaching and learning. Additional taxonomies need to be developed and used which focus on the more cognitive aspects of this process. The "cognitive mapping" of Joe Hill and his associates at Oakland Community College in Michigan provide a useful (though as yet unproven) framework and set of instruments for classifying the compatibility of students to various methods of presenting information.[2] The preliminary work of Patricia Cross on the role of cognitive styles, especially of field-dependency and independency, also points the way to further developments in this field.[3] At the present time, we can only recommend that a faculty development practitioner keep abreast of — and even contribute to — these new developments, for it is essential that the individual faculty member examine his own personal assumptions about the nature of the interpersonal and cognitive styles of his students.

If we can assume that a faculty member can clearly describe his own teaching style and that the predominant learning styles of his prospective students can be identified, there are at least six ways this information can be used in the design of courses:

a. Student self-selection. Based on the compatibility of their own learning styles with the faculty member's teaching style, students can decide either before or at the start of a term whether or not to take the course. Unfortunately this approach is not very useful if the course is required, if the student is not able to sign up for another course or if the content of the course is of particular concern to the student.

b. Section selection. Multiple sections of the same course are frequently offered and, if the teaching style of each section is clearly described, students can sign up for that section which is most compatible to their own learning style.

c. Team teaching. If a course is taught by faculty with differing though hopefully complimentary teaching styles, each student may have the chance to work with at least one instructor whose style is compatible to his own.

d. Individualization of instruction. One or more of the elements identified by Diamond can be incorporated into the design of the course.

e. Modification of teaching styles. Faculty can be provided with the diagnostic and supportive services needed to change and/or extend their teaching styles to make their instruction more compatible to a broader range of learning styles. This is the approach most often recommended by faculty development and much of both volumes of this handbook addresses this issue.

f. Modification of learning styles. If an instructor can clearly articulate her teaching style and the assumptions she makes about learning to her class, students may be encouraged and supported to adopt at least provisionally a set of learning styles compatible with that particular approach to teaching and learning.

3. Multi-Level Learning

In an exceptional series of essays on a variety of issues concerning human society and mind, Gregory Bateson describes a three-level model of learning that has several important implications for the design of college and university instruction.[4] Learning I, Bateson's first level, incorporates most learnings that have been identified and studied by experimental psychologists, such as the formation of habits, rote learning, avoidance of pain, conditioning (Pavlovian stimulus-response learning) and instrumental learning (Skinnerian learning that results from positive reinforcements). Learning I occurs when one has changed his choice between alternate behaviors — but has not changed the set of behaviors from which the choice is made. This change in one's behavior usually results from the recognition and correction of a previous error in choice ("trial and error" learning).

Bateson believes that Learning I is an essential ingredient in the adaptation of all organisms to a complex and changing environment. As some experimental psychologists have noted, however, significant learning seems also to take place at a different level. This level, which Bateson identifies as Learning II, is described as "set learning," "learning how to learn" or "transfer of learning." Essentially, Learning II differs from Learning I in that the behaviors from which one chooses change; in Learning I, only the choice will change. At the second level, the learner exhibits not only improvement in the choices he makes but also in the manner in which he makes choices.

Learning II, according to Bateson, tends to produce most of the phenomena that we term human characteristics (dependency, hostility, competitiveness and so forth). It is also central to our understanding of interpersonal relationships, for it "punctuates" human interactions: whether a given behavior of one person will be a stimulus, a response or a reinforcement to a second person's behavior will depend on the understanding (or misunderstanding) of both individuals of the context or set within which the interaction occurs.[5]

Just as Learning II is defined by Bateson as a corrective change in the behaviors that are available to the learner — that is, a change in the process of Learning I — so is Learning III defined as "a corrective change in the system of sets of alternatives from which choice is made"[6] — a change in the process of Learning II. Learning III can be defined as "learning how to learn how to learn" or learning what the contexts are within which one best learns how to learn ("a context of contexts"). While learning at the level of Learning III is difficult to conceive, it appears to be closely related to one's definition of self.

In designing a college course, all three levels of learning are possible and may be considered by the college professor. A student certainly should learn the basic subject matter being studied (Learning I), whether this involves knowledge, skills or attitudes. However, students should also learn something about how to learn in this specific area of study (Learning II). If we are preparing college students for a lifetime of learning, then it is essential that they be presented with the knowledge, skills and attitudes that are associated with continual, self-generating and self-sustaining learning.

Learning III can be accomplished in a college course by increasing the student's awareness of predominant intellectual paradigms in an area of study. Some college professors have not, unfortunately, examined their own personal assumptions concerning the structure of their discipline or its dominant paradigms. Consequently, many students who ask questions at the start of an introductory course about validity, relevance and precedence soon find that this type of question is unacceptable and that consequently there is very little to be gained from broaching such questions. The students soon learn (Learning II) to ask questions from within, rather than outside, the dominant paradigm. An effective college teacher will hopefully not only allow questions from outside a paradigm but will design the course in such a way that these issues will emerge in a context that is conducive to creative and insightful exploration of both dominant and alternate paradigms. Learning III is also accomplished by closely interrelating the subject matter which is being treated and the student's goals for personal development and the clarification of self-identity.'

4. Piggy-Backing

Many faculty members who wish to redesign one or more of the courses they are teaching and/or shift their primary emphasis as a college teacher from the role of information dispenser to that of instructional designer must confront the barrier of time. Faculty with heavy teaching loads usually cannot find sufficient time to redesign a course for the upcoming term when they are scrambling to keep up with current demands. While summers can provide this occasion, many faculty teach summer school or engage in other professional or personal duties. There simply is no time during the regular academic year to get on a "design track" which allows a faculty member to develop next term's courses during the current term. Once this design track is established, however, it tends to be self-sustaining. The problem resides in the fact that the track itself is difficult to establish.

Bob Diamond and his colleagues confront this problem by obtaining funds to pay the salaries of a few faculty members each summer which enable them to design and prepare for fall courses. In this way, at least some faculty are able to move to a design track. Unfortunately, many institutions do not have, or are unwilling to allocate, money in this way. Hence, faculty must somehow find time during the regular, busy school year to break out of their current time constraints. A technique called "piggy-backing" can be useful for faculty members who wish to design or re-design a course under these difficult conditions.

Piggy-backing refers to the interrelationship between two or more courses that are being taught in any one term. In essence, the two courses are combined in some way so that a faculty member can spend less time preparing for or conducting one or both courses. Piggy-backing frees time for the preparation of courses to be offered during the next term and can be accomplished in a number of different ways.

First, if one course is being taught at an elementary level and a second course at an advanced level, the students taking the advanced course can help teach or tutor the students taking the introductory course. Students in a senior-level course in Shakespeare, for instance, can be responsible for preparing lectures or discussions on Shakespeare for a freshman-level survey course on English Literature. Then again, the advanced students might be assigned as a tutor to two or more of the survey course students in order to assist them in studying the Shakespeare section of the course. Faculty generally find that both groups of students regard this type of arrangement as quite valuable: the advanced level students tend to be motivated to work hard in the course, while the introductory level students find that the peer teacher can give them more attention than can one faculty member and that he is sometimes more sympathetic than the professor to problems that are encountered in learning the material.

A second approach to piggy-backing involves an arrangement between two faculty members who are teaching related courses. The two courses are scheduled for the same hour, or a time is identified during which all of the students are free, perhaps one evening per week. Part of the time each course would meet separately but, when possible, lectures would be presented by one of the instructors to both classes together, thus creating some preparation time for the instructor not responsible for that presentation. As is the case with peer teachers and tutors, students tend to react positively to this arrangement, for they often obtain two or more different perspectives on a specific issue, while at the same time perhaps experiencing a refreshing change in teaching styles.

Third, piggy-backing can be used by having students in one course help the instructor prepare for another course which will be taught during the following term. One or more of the students in a course on twentieth century literature might, for instance, help the instructor prepare this same course or a related one which the faculty member will teach during the coming term. In helping an instructor prepare a course, the students must, of course, master the content of the area being taught, but they will also be involved, with the faculty member, in the often insightful process of determining what is the most important material to be covered, how it is best presented and how acquisition can best be measured.

Fourth, piggy-backing can be performed in two closely related courses taught by the same instructor, like the Sociology of Organizations and Sociology of Work and Leisure. During the first three-quarters of both courses, the faculty member takes primary responsibility for teaching both courses. During the final part of the course, however, some of the students in each course are required to teach one segment of the course to students in the other course. The students in the Sociology of Organizations course might, for instance, take responsibility for teaching students in the other course about the effects of organizational structures and climate on motivation to work. Students in the Work and Leisure course can, in turn, teach about the informal organizations associated with leisure activities.

The initial reaction of many faculty to any one of these four models of piggy-backing is often quite negative. They may feel guilty about "using" students or may feel that their colleagues will be critical of the procedure. This negative stance can be reduced by encouraging faculty to try one of these four approaches for only one or two class periods. They will usually find that students are quite supportive of the change and that they are learning as much or more in this setting than in the traditional one. Faculty are then inclined to take a bigger step and may piggy-back two entire courses.

Having successfully begun one piggy-backing effort, faculty members will usually find time to begin designing new courses or redesigning existing ones (perhaps retaining piggy-backing as an element in the new design). It is crucial at this point, however, that the faculty member receive encouragement and design assistance. Otherwise, he is likely to rely on old designs or will give up in despair over the enormity of the task or the inadequacies of his own skills as an instructional designer.

While piggy-backing does take planning time, it requires much less time, as a rule, than most other instructional designs (like the Keller Plan or an audio-tutorial design) and thus may be a good place for a faculty member to begin creating time for instructional planning and design. If the faculty member is unwilling to commit this additional time for the planning of piggy-backed courses in order to get the instructional design process started, then one might question her motivation. She probably is not sufficiently interested in this approach to the improvement of her teaching to engage in the initially-difficult and perhaps frustrating process of instructional design — regardless of the amount of time that is available.

5. Ingredients of an Effective Design Process

The last general principle that we wish to review concerns the essential ingredients of the actual process of course design, which appear to be four. First, a determination of current instructional resources must be made; second, an assessment of the current educational milieu must be conducted; third, instructional goals and objectives must be identified; and, finally, an instructional design making use of available resources, responsive to the current milieu and meeting specific goals and objectives, must be formulated. Although these four ingredients must be present in any design process, they need not be considered in any particular, sequential order. In fact, those design strategies that require a rigid sequence of activities tend to be constraining and rarely produce meaningful instructional designs. It is only essential that resources, milieu and goals be considered in conjunction with the design and implementation process. Any one of the first three ingredients might lead to or emerge from others in this process.

The determination of current instructional resources involves several types of activities. First, the faculty member must determine his own resources as a college teacher: knowledge of the specific subject matter, repertoire of instructional methods, preferred teaching styles and so forth. Other institutional resources must also be identified: classroom space and design, alternate instructional spaces such as library and dormitory space, library and museum facilities and audio-visual equipment and computer terminals, among others. Third, and sometimes most importantly, the faculty member should identify other available human resources: other members of the faculty, members of the administrative and clerical staff, advanced students, students taking the course and people in the community.

The educational milieu of the institution must be assessed in order to determine the informal and formal constraints, as well as supports, that the faculty member is likely to encounter when implementing a new instructional design. One important element in this milieu is the organizational climate, the norms and precedence that influence what and how instructional innovations are introduced and sustained. The milieu also contains the educational philosophies, values and assumptions of the institution's faculty, administration, staff and trustees.[1] Perhaps most importantly, the educational milieu is influenced by the learning needs, styles and developmental concerns of the students. Although the goals and objectives of a course or curriculum should be clearly specified, they should not be independent of a detailed assessment of the resources and milieu of the institution. Frequently, objectives oriented approaches to instructional design do not adequately account for these environmental factors and hence produce either a mundane set of objectives that inadequately fulfill the potential of the resources and milieu or an unrealistic set of objectives that cannot be achieved given the current situation.

Both goals and objectives should define the faculty member's aspirations for the course. Goals are broader than objectives and need not be specifically measurable: "I would like the students to have acquired a greater appreciation for Egyptian art." The faculty member should, however, be able to state fairly explicitly how she will know if that goal has been achieved: "I will know that students are enthusiastic if they independently visit the Egyptian art exhibit at the city museum, if they engage freely in class discussions about Egyptian art, or if they seem to be viewing contemporary art from a new perspective that has been influenced by their study of Egyptian art." Objectives should be capable of measurement — though the measurement need not be quantifiable or numerical. The instructional objective might be measured on a "more-or-less" scale, or by means of narratives or portfolios (see Chapter Three). Indeed, several educational researchers and instructional developers have recently begun to identify procedures for the measurement of such affective objectives as attitude change, appreciation and enthusiasm.[9]

Planning and implementation of an instructional design usually consumes the greatest amount of time. This activity, however, will be frustrating and often unsuccessful if the faculty member has not devoted sufficient attention to the other three ingredients. In the following sections of this chapter five different, though related, approaches to course design will be described. Each of these will to a varying extent incorporate these four design ingredients. The reader, however, need not accept any one of these approaches to design but should be sure that whatever approach is being taken incorporates all four ingredients.

B. Five Approaches to Course Design

The five approaches which we will consider are all currently being used in one or more institutions: they are either (1) systematic, (2) problem-oriented, (3) creative, (4) intellectual or (5) training based. We have not included the well-known design models that emphasize specific methodologies such as the Keller Plan, audio-tutorial techniques or simulations or those that emphasize specific aspects of the design process like instructional objectives, for we believe that the most effective faculty development efforts are those which can respond in a variety of ways to the diverse needs of faculty and which do not advocate a particular approach to course design. Furthermore, we have placed emphasis on processes that yield creative, divergent thinking on the part of faculty, for we do not believe that additional design resources are needed in most institutions for faculty who wish to develop their courses along traditional lines. For these faculty, assistance is needed in the more effective implementation of traditional designs; we have discussed this approach to instructional improvement in Chapter Five.

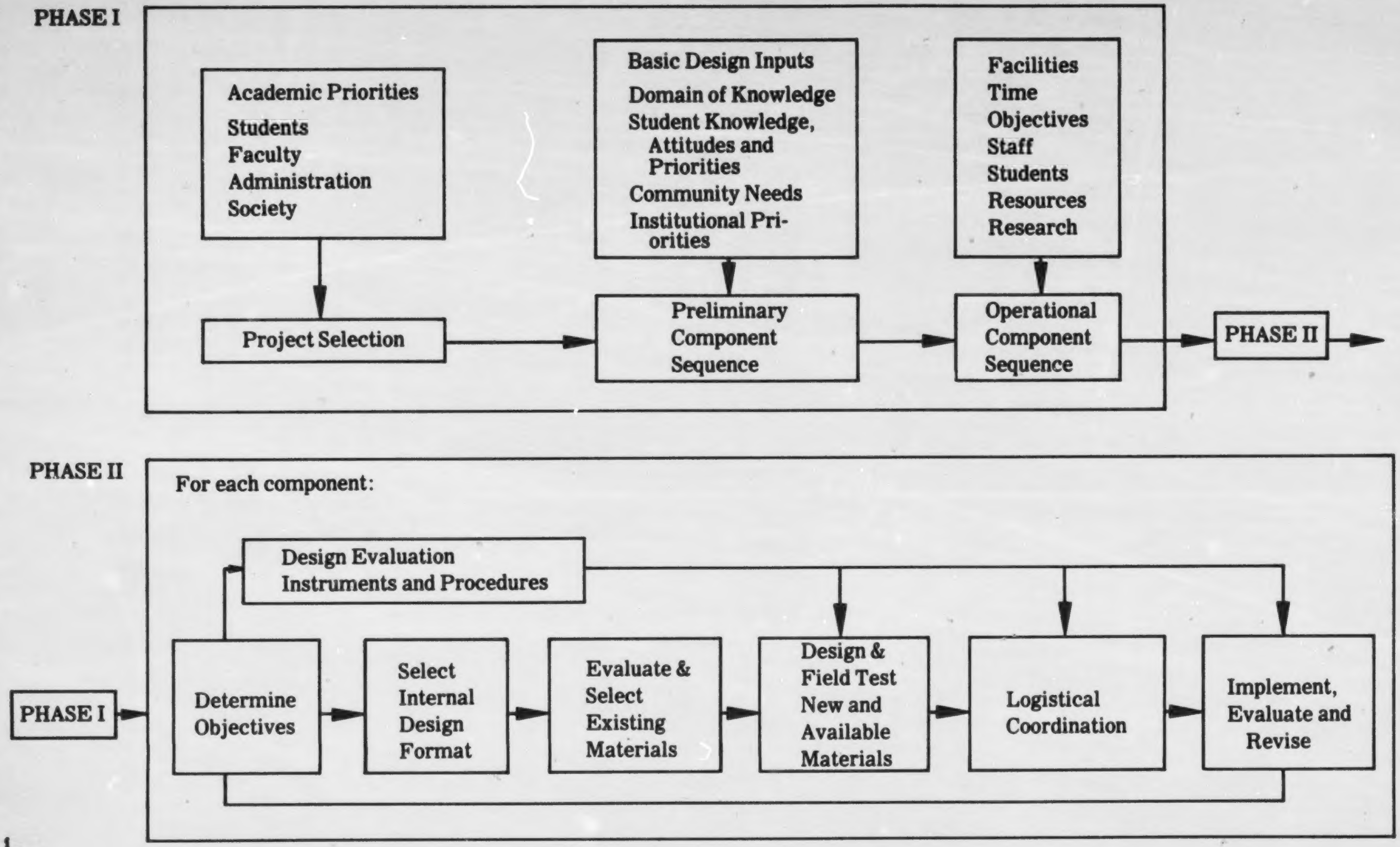
1. A Systematic Approach to Course Design

We will treat this approach with relative brevity, because it is described in greater detail elsewhere[10] and because the Center for Instructional Development at Syracuse University offers a week-long conference each summer during which this process is presented.

The process that is followed by the Center for Instructional Development consists of two phases, each incorporating several specific steps, some of which differ markedly from most other existing models of instructional development (see Table One). The first phase focuses on three general design issues: first, a project is selected on the basis of academic priorities for students, faculty, administrators and society; second, a preliminary component sequence is designed which reflects such basic concerns as content area, student knowledge, attitudes and priorities, community needs and institutional priorities; and third, an operational component sequence is developed which incorporates considerations about facilities, time, objectives, staff, students, resources and research.

TABLE ONE

PROCESS FOR INSTRUCTIONAL DEVELOPMENT


PHASE I
Academic Priorities
Students
Faculty
Administration
Society
Basic Design Inputs
Domain of Knowledge
Student Knowledge, Attitudes and Priorities
Community Needs
Institutional Priorities
Facilities
Time
Objectives
Staff
Students
Resources
Research
Project Selection
Preliminary Component Sequence
Operational Component Sequence
PHASE II
PHASE II
For each component:
Design Evaluation Instruments and Procedures
PHASE I
Determine Objectives
Select Internal Design Format
Evaluate & Select Existing Materials
Design & Field Test New and Available Materials
Logistical Coordination
Implement, Evaluate and Revise

In the first phase of their process, Diamond and his staff recommend that faculty members who are designing a course begin with an "ideal" design, the preliminary component sequence, which allows the exploration of new approaches to the course without the often debilitating conceptual restrictions imposed by "reality." The "practical" course design, or operational component sequence, is then drawn up in a tentative manner, taking into account the resources, milieu and formal goals of the course or curriculum.

Diamond emphasizes support for a few major projects rather than a wide variety of smaller projects. While other instructional development offices have supported a more scattered approach,[11] the Center for Instructional Development argues that it can obtain greater impact by concentrating on a small number of major projects that usually affect a large number of undergraduate students taking introductory level courses. More recently, the Center's projects have tended to involve the entire curriculum of a department or college.

Phase II consists of steps leading to the production of materials for each component of the design. This phase closely parallels the production processes of most other instructional development programs, though Diamond and his colleagues seem to place greater emphasis on evaluation throughout the design and implementation stages. An early and consistent emphasis on evaluation issues lends greater clarity and credibility to the design process.

Diamond and his associates also place less emphasis on the specification of objectives than do most other instructional development specialists. In a recent discussion on the uses and misuses of instructional objectives, Paul Eichmann,[12] the Center's Associate Director for Development, outlines several reasons for using, yet not relying too heavily on, instructional objectives. He notes that the specification of objectives forces a professor to pre-plan the course, to examine assumptions about what students are learning in the course, to talk about the outcomes of the learning process and to become more specific in drawing up goal statements. Objectives also assist in the evaluation of a course, foster a discussion of worth and priority and encourage an analysis of a student's level of competence, attitudes and so forth prior to entering the course. In the specification of objectives, the faculty member is encouraged to seek out input from other faculty and to attend closely and continuously to the progress of students in the course. Perhaps most importantly, an examination of instructional objectives focuses attention on learning rather than teaching. A discussion of *what* is to be learned aids decisions about *how* it is to be learned.

According to Eichmann, however, objectives can also get in the way of effective instructional performance if followed with the rigidity of theory rather than practice. If objectives are always specified before the learning materials are developed and the assessment instruments identified, then the faculty member has unnecessarily constrained the process of instructional design. New ideas for the directions or goals of a course often emerge from an exploration of new instructional materials or assessment instruments. Furthermore, the unintended, but significant, learnings that often occur for a faculty member immediately before or during a course should not be sacrificed for the sake of pre-specified objectives. Eichmann also notes that objectives are often isolated from other aspects of the course design process and hence can become somewhat irrelevant. Finally, the impact of objectives can easily be over-estimated. There is, according to Eichmann, no clear evidence that retention and learning is automatically improved by the clear specification of objectives. Eichmann believes that this process is primarily of benefit to the professor, not the student. In other words, the *process* of formulating objectives may be more important than the statements themselves.

Many strengths can be found in this process of course design and instructional development. First, the process is clearly comprehensive. It enables a faculty member to adopt a new approach to instruction with sufficient guidelines and assisting expertise to remain confident that a major overhaul in a course or an entire curriculum is feasible. Second, the process forces the faculty member to reflect systematically on his own assumptions about teaching and learning and to translate these assumptions into instructional practices. The Center is not imposing its own assumptions on the faculty member but is instead helping him to spell out his own personal assumptions. Third. the process is particularly valuable for the faculty member who is confronted with diverse learning styles and needs, for by individualizing the course or curriculum, a faculty member can effectively meet the problem of student heterogeneity.

The Center's approach to course design, however, has limitations and potential problems. First, like most other instructional development programs, the Center needs significant administrative support to work successfully, for its process is time-consuming for both faculty and staff and requires significant instructional support services. Small colleges, or larger institutions in which interest in course design rests primarily with the faculty, may lack sufficient resources for this type of a program.

Second, the Center requires a departmental or college-wide commitment to the project that is being undertaken; primary commitment is to the product produced rather than to the individual faculty member. If the department or college is unwilling to commit itself to use of course design and instructional materials, the Center will not accept the project. Several of the other course design approaches which we will describe below are oriented toward individual instructors and hence may be more appropriate if only one or two faculty in a department want assistance with their courses.

Third, though this program is clearly a flexible and responsive approach to instructional development, it embodies a specific, systematic process which faculty must explicitly accept before proceeding with the design of a course or curriculum. Several of the other approaches which we will describe do not require this commitment to a specific design process, for they are more oriented toward solution of specific design problems or toward the creative and hence often unsystematic production of new instructional designs. The systematic process of the Center for Instructional Development is more likely than any of the other approaches we will describe to yield a specific type of course design: one that is self-paced, competency-based and which makes extensive use of programmed, self-instructional materials.

2. A Problem-Oriented Approach to Course Design

In many instances, individual faculty members or departments are not ready to embrace a systematic approach to course design. They either resist one or more aspects of the process or are unwilling to commit the time and resources needed to implement all aspects of this approach. Many faculty and departments, however, are usually able to identify one or more specific design problems with which they would like assistance; a problem-oriented approach to course design can offer this assistance in an informal, consultative and non-threatening manner. Rather than insisting on a clear statement of course objectives, for instance, a problem-oriented approach to course design may introduce the faculty member or department to one or more exercises that indirectly help clarify instructional objectives, like those in Exercise Number Two.

The essential first step to take in a problem-oriented design process is the clarification of an immediate, pressing instructional problem with which the faculty member or department is concerned. Without a clear problem statement, any design intervention may be inappropriate or even harmful. The second step in the design process is to work with the faculty member or department in developing insights concerning the problem, using fantasies, questions and other data-collection procedures (see Exercise Number Two). Third, the faculty member or department then assesses the implications of these insights and decides how the problem should best be addressed. Fourth, the faculty member or department then implements the recommendations that have emerged from this problem-oriented design process. Finally, these recommendations are evaluated, the problem is reassessed and further design-consultation is initiated if necessary.

In working on an immediate, pressing problem, the design consultant helps faculty members expand their own awareness of the full context within which the problem resides, so that they will be increasingly able to solve their own instructional design problems. Eventually, by means of this process, all or most of the steps in a systematic course design procedure will be completed. The sequence in which the different steps are taken, however, is determined by the initial and emergent design problems that have been identified by the faculty, rather than by a pre-specified system of design.

To illustrate the problem-oriented design process, we will briefly describe a hypothetical, though typical, consultation:

> Jim, a faculty member in the Department of History, contacts the Director of Faculty Development, Susan, to express concern over the relatively high rate of attrition (20%) in his survey course on European History. Susan first meets with Jim to clarify the problem as he perceives it. She finds that Jim is concerned about three issues. First, he wonders whether or not his students are adequately prepared to take the course. Second, he is concerned that the course might not be taught in an interesting manner. Third, he thinks the course might be too difficult for the students. Susan suggests that some information might be collected to address Jim's concerns. She suggests that he administer a general test at the start of the course to determine how much the students know about European History. She also recommends the use of a student evaluation questionnaire to determine current levels of interest and difficulty. Finally, she recommends that a sample of students who drop the course be interviewed. Jim agrees to this procedure.
>
> At the end of the semester, Susan presents the information she has collected to Jim. Quite clearly, the problem is not lack of knowledge about European History. Jim is surprised to find that his students know quite a bit about the content of the course at the start of the term. He becomes discouraged when he then realizes that even his best students learn very little more during the semester. Jim's evaluations reveal that his presentations tend to be confusing and that his goals for the course are not clear to the students. The course is not viewed as difficult — only confusing and disorganized.
>
> Jim and Susan discuss the implications of these findings, then decide on a course of action. Jim decides to write down his objectives for the course and develops a detailed statement of the way in which the course is organized. He believes that the confusion results from an oral, rather than written presentation of the course objectives and structure. Susan suggests that he distribute this material to a sample of his previous students for their reactions. The students concur that the documents are of value but that they are not sufficient. The attrition interviews are re-examined. Susan and Jim agree that he should also offer more examples or experiences that would make various aspects of European history more relevant and interesting, as well as concrete. Susan suggests that Jim introduce several simulations into the course which would specifically focus on events that seem to be either confusing or boring to the students. Finally, Jim and Susan identify one segment of the course which is particularly problematic. This is the point where

> many students drop out. Those students who have had European History in the past seem to find this section rather easy going; those who have not, run into difficulties. Susan suggests that Jim set up this section of the course in a self-paced mode with substantial tutorial assistance offered by advanced-level students and students in the course who have little trouble in finishing the section.
>
> With these suggestions in hand, Jim begins the new semester. He continues to give the pre-test and student evaluations, finding both to be quite valuable. He passes out the course objectives and clarifies structure at the start of the course and introduces the simulations and self-paced sections. He also arranges with Susan to have her visit the class periodically and begins work on a major revision of the course.

The reader who has already examined the teaching improvement process described in Chapter Five will find a great many similarities to this approach, for the design-consultation process in fact integrates both, for both place emphasis on the process rather than product of the design task. While a systematic approach to course design tends to emphasize the quality of materials and procedures that are being produced, the problem-oriented approach tends to emphasize the quality of problem-solving that takes place. In this sense, the latter approach is more general than the systematic and hence is more readily integrated with similar consultative processes.

The problem-oriented approach is appropriate for use in an institution which lacks the significant financial support needed for a more systematic program. This approach requires the expertise of a design consultant but very few, if any, instructional support services. This approach also is recommended when faculty resist overt instructional design efforts, for it can be used as a stepping stone to a more formal, comprehensive instructional development program.

On the other hand, the problem-oriented approach fails to link faculty directly with new methodologies and technologies. Faculty will tend to develop traditional course designs using this approach, for the way in which a faculty member defines his instructional problem will tend to dictate the type of solution that is reached. Furthermore, neither the systematic nor problem-oriented approaches to design tend to yield the creative and divergent type of instructional designs that can be produced through use of a third approach, to which we now turn.

3. A Creative Approach to Course Design

Course design should never be relegated to a formula or equation, for it inherently involves the potentially creative interaction between teacher, student and subject matter. Every course can be taught in an interesting and informative manner. Furthermore, every course can be designed to yield learnings at all three of Bateson's levels if the professor is able to break free from restrictive conceptual barriers and receive support for innovative design from both the resources and milieu of the institution.

At least four different techniques can be of value to someone who is helping a faculty member expand his awareness of design options and develop new instructional designs: (1) brainstorming, (2) divergent delphi, (3) "dial-a-course" and (4) synectices. Each of these techniques will be briefly described, though dial-a-course will be considered in greater detail in Exercise Four.

None of these techniques provide the faculty member with a systematic assessment of goals, resources or milieu. In many instances, the creative approach should only be implemented after this initial information is collected. In other instances, however, the faculty member should plunge immediately into the task of creative design and only later bring the results into accord with "reality." Even within the context of a systematic design process, Diamond and his colleagues have advocated the formulation of an ideal design before the formulation of a more realistic one.

The techniques to be described below help to free faculty from the conceptual constraints that often make that "ideal" design a carbon copy of the traditional or realistic design.

Each technique usually involves a group of people, for a group offers the advantage of multiple perspectives and sources of interest, attention and inspiration. Under the demanding conditions of creative course design, an individual will often confront periods of creative stagnation and discouragement. A group that is working effectively can usually avoid these problems. This approach to course design, like the more systematic approach, thus involves the commitment of a team of faculty to the improvement of a course or curriculum. In the use of the creative approach, however, the group need make only a short-term commitment to the project, usually two to four hours. Furthermore, the creative approach usually requires that one member of the group (the faculty member who teaches the course) be the focus of the group's attention, for it is that individual who defines the nature of the problem to be addressed.

a. Brainstorming

This technique is frequently mentioned and often used to label almost any loosely-structured group discussion, yet it is, in fact, a very specific technique which demands a certain amount of structure. Brainstorming can be used by a group to generate a large number of potential design elements in a short period of time. Six steps are involved. First, the group clarifies and agrees on the area in which they are to generate ideas; usually the problem is set forth as a single statement or question. Second, a time limit is set for the brainstorm. Three to five minutes is usually sufficient if the group is working hard; when necessary, the brainstorm can be started again after a review of the ideas generated during the first session.

Third, the rules of brainstorming are reviewed. Participants are to offer any and all ideas that come to mind during the brainstorming period. Each idea that is verbalized is to be recorded but not evaluated; any critical comments or words of praise for an idea are to be avoided or cut off. Participants are encouraged to build on each other's ideas, to use humor, to feel free to be irrelevant and to articulate everything that comes to mind. They are to state their ideas without fleshing them out or attempting to justify them, for these more conceptual activities come after the brainstorming period is concluded.

If a group has never conducted a brainstorm, we suggest that the group "warm up" by either performing a brief brainstorm on some irrelevant topic — "How might the standard credit card be re-designed" — or asking each member of the group to verbalize one "bad," irrelevant or mundane idea about the problem before starting the brainstorm — or two or three "bad" ideas if the group is rather stiff and evaluative.

The fourth step involves the selection of one or more members of the group as recorders who will write down all of the verbalizations made by the group during the brainstorm. At least one recorder should be appointed for each five participants. All ideas must be written down so that each member of the group can read them, for many participants find inspiration in the previously recorded ideas, however irrelevant, of the group. The recorder should freely record his own ideas, verbalizing the idea while writing it down so that other members of the group can hear it.

Fifth, the brainstorm is conducted. A typical five to six person group will generate at least twenty ideas per minute. Most brainstorms become particularly valuable during the second or third minutes after standard ideas get verbalized and the group members begin bouncing off each other's thoughts and exploring new areas. The brainstorm should always be brought to a close when the time limit is reached.

Sixth, the group concludes the brainstorm by evaluating the ideas that have been generated. Specific ideas can be developed, clarified, modified, combined with other ideas and so forth. If more ideas are wanted, the group can begin again. On the other hand, the group can focus on a more specific aspect of the problem or on a particular idea that has been generated in the first brainstorm. Usually the preparation for and follow-up discussion from a brainstorm absorbs at least twice as much time as the brainstorm itself. Nevertheless, the whole process should be completed in twenty to thirty minutes; two or three brainstorms can usually be conducted in a one to two hour meeting.

b. Divergent Delphi

This technique has been derived from the conventional delphi method,[13] which seeks convergence or consensus from a group of people on a specific issue by asking them to justify their rating of any opinion, attitude or goal which lies outside a mid-range of responses. The divergent delphi, by contrast, encourages — and even forces — group participants to generate responses that lie outside the mid-range. Specifically, each group member is asked to offer ideas in response to a particular problem statement. Once an idea has been expressed, it can no longer be offered as a suggestion by any group member. One at a time, the group members begin offering ideas. Usually, the first four or five rounds go rather quickly as rather standard suggestions are offered. The process becomes much more interesting, however, in the following rounds, as group members struggle to generate new ideas. At this point the divergent delphi session often resembles a highly effective brainstorming group: innovative, irrelevant and intriguing ideas are generated without being evaluated. Group members should be encouraged to use humor and analogy. Evaluation should only occur if an idea is very close to an idea that has previously been offered. All ideas are recorded. Most groups can work effectively for at least fifteen minutes on a divergent delphi.

This approach holds an advantage over brainstorming for the design team that tends to be rather "stiff" and does not readily generate new ideas. The divergent delphi *forces* group members to generate unusual ideas, whereas a brainstorm can only encourage this type of product. Conversely, the divergent delphi is more formalized and hence does not allow a particularly creative participant to offer ideas in the more free-wheeling environment of a brainstorm.

c. "Dial-A-Course"

Derived from a method called "morphological analysis,"[14] Dial-A-Course is an enjoyable and often humurous game that is used for the serious purpose of expanding a faculty member's awareness of alternative course designs. Since this technique has been described in Exercise Four we will not discuss it further at this point.

d. Synectics

This is a creative problem-solving technique that can be very effectively employed to encourage creative instructional design. Synectics encompasses a wide variety of tools and procedures.[15] We will focus on only two synectics techniques, paraphrase and spectrum analysis. The first of these two techniques has been described in the first volume of *A Handbook for Faculty Development;*[16] it is enough to say at this point that paraphrase involves the restatement of another person's ideas in one's own words. A paraphrase may involve making a general idea or statement more specific, a specific statement more general, an example or an indication of what the opposite of the idea might be. The process of paraphrasing usually continues until both participants have agreed that the original message has been understood.

Spectrum analysis is specifically identified with the synectics group. According to their theory, ideas are rarely entirely good or bad; rather, they lie along a spectrum or continuum from good to bad; parts of an idea may be quite useful or suggestive, while other parts may be essentially useless. Spectrum analysis involves an assessment by the listener of the good as well as bad points of an idea. The listener is first asked to indicate several ways in which the idea that has just been presented is useful, informative, provocative and so forth; then and only then can she indicate major problems with the idea. By forcing the listener to analyze the full spectrum of an idea, the likelihood of both trust and collaboration is increased. This approach to creative problem-solving is particularly valuable in the higher education community in which the norm for analytic and critical thinking requires that one first identify and verbalize the faults of an idea before discussing its merits.

The paraphrase and spectrum analysis techniques are combined into the approach to course design we have labeled synectics: after the first person in the design team has spoken, any other member of the team who wishes to speak must first paraphrase the previous speaker to that person's satisfaction. If the paraphrase is not immediately successful, the original speaker restates his idea again, using different words and images. The person who wishes to speak then must indicate three reasons why the idea that was just conveyed and paraphrased is a good and useful one. After having completed the paraphrase and given three reasons why the idea is a good one, the speaker may then express her own concerns about the idea or present her own idea. By combining the paraphrase and spectrum analysis techniques, a design team can significantly increase the extent to which participants build on each other's ideas and increase the extent to which the participants' ideas are fully explored.

4. An Intellectual Approach to Course Design

Typically, a consultant on course design does not actively engage with the faculty member in an examination of the subject matter of a particular discipline, for it is assumed that the faculty member has already mastered the content of the course he is about to teach. If he has not, he will first of all need the assistance of a consultant with specific expertise in his field. Consequently, attention is usually focused almost exclusively on the instructional aspects of course design. While it would be inappropriate for most faculty development consultants to assist a faculty member in clarifying, integrating or acquiring a better sense of the subject matter of the course, the consultant can be of considerable value in helping the faculty member examine some of the intellectual assumptions that underlie both the subject matter and a particular approach to instruction.

These assumptions relate first of all to whether or not a specific area of study should primarily be treated in broad, general terms (a macro perspective) or in narrow, specific terms (a micro perspective). Stated in another way, should a phenomenon that is under study be first considered in terms of its totality (a "gestalt") or in terms of its parts? Similarly, should an area of study first and primarily be considered from an objective, distant, detached point of view (a distal perspective) or from a subjective, close and immediately relevant point of view (a proximal perspective)? These macro-micro and distal-proximal dichotomies, as well as several other important intellectual dichotomies that are described in Exercise Three can be very helpful to faculty in their examination of assumptions about the way in which a particular body of information, attitudes and skills should be conveyed.

This approach to course design is particularly appropriate for a conservative or traditional group of faculty who view themselves primarily as scholars or researchers, since an intellectual approach begins at the primary point of interest and expertise for these faculty — the subject matter they are presenting. The faculty members are asked to discuss this subject matter in relationship to intellectual categories that transcend specific disciplinary boundaries. Faculty report that they enjoy this type of conversation with their colleagues from other disciplines and learn a great deal from such discussions about their own discipline as well as others. More importantly, faculty members can be given a sequence of questions (see Exercise Three) that lead them from an initial consideration of intellectual issues to a consideration of the implications these issues have for the ways in which a course should be designed and, finally, to the direct consideration of alternative designs for a specific course.

The intellectual approach to course design requires the consultant or faculty development practitioner to comprehend broad, intellectual issues that cross traditional disciplinary boundaries. The basic techniques that are offered in Exercise Three can be useful as a warm-up for a design team or curricular planning group, or even as a problem-solving vehicle for clarifying implicit intellectual assumptions that may be blocking the progress of a design team that is using one of the other approaches. These exercises, however, can not substitute for the knowledge and competency of a consultant who genuinely pursues a continuing interest in broad intellectual issues that cross over and pervade many if not most of the current academic disciplines.

5. A Training Approach to Course Design

The first systematic approach we described is primarily product-oriented. The next three approaches are progressively less oriented toward the product and increasingly oriented toward the person or group that is designing the instructional program. Our fifth, and final, approach is exclusively oriented this way. Any instructional materials or designs that are produced will be considered of value only if they yield important learnings about design for those faculty involved in the process.

One of the best examples of this approach is a series of workshops that were held at Pacific Lutheran University during the summer of 1975. Essentially, the workshops were designed as the first step in an extended curricular reform process. At each workshop, one-half of the faculty from the Division of the Humanities spent a week together preparing for one week inter-disciplinary courses that they were to team-teach shortly after the end of the workshop. During the workshop, faculty were exposed to various principles of course design, including several of those offered in the first section of this chapter, to a survey of alternative course designs and interdisciplinary course topics and to various techniques for the improvement of instruction. The faculty, in teams, were also given individual consultation concerning course topic, design and methods for the "mini-course" they were about to teach. These courses served as powerful motivators, for the faculty were confronted with the task of preparing for a course quite different from those they ordinarily taught. Most faculty thus had to learn a new topic, a new method and a new teaching relationship. As a result, the workshop participants were open to the exploration of alternative course designs and methods. The courses thus became vehicles for faculty development and for testing new instructional ideas. Upon completion of the one week courses, the faculty assembled again to discuss what they had learned and to begin planning for wide-ranging curricular reform based on these learnings.[17]

C. Conclusion

The five approaches to course design discussed in this chapter hopefully will provide the reader with some ideas about the range of activities that can be employed by the faculty development consultant in assisting faculty to improve the quality of instruction they are offering to students. At this point, faculty development has paid a great deal of attention to the methods of instruction and to the role of the faculty member as lecturer, discussion leader and learning advisor. Increased attention must now be given to the structures within which instruction takes place and to the role of the faculty member as the educational architect who is to design these new instructional structures. The faculty development practitioner can clearly become a more effective resource to faculty by gaining experience and expertise in consultation on course design.

NOTES:

[1] Robert Diamond and others, *Instructional Development for Individualized Learning in Higher Education* (Englewood Cliffs, New Jersey: Educational Technology Publications, 1975), pp. 4-7.

[2] Joe Hill, *The Educational Sciences* (Oakland, Michigan: Oakland Community College, n.d.).

[3] For further information, see Patricia Cross, *Accent on Learning* (San Francisco: Jossey-Bass, 1976), Chapter Five; and Samuel Messick and Associates, *Individuality in Learning* (San Francisco: Jossey-Bass, 1976).

[4] Gregory Bateson, *Steps to an Ecology of Mind* (New York: Ballantine, 1972).

[5] For a further discussion of this issue, see Paul Watzlawick, John Weakland and Richard Fisch, *Change* (New York: Norton, 1974).

[6] Bateson, p. 293.

[7] For a discussion of this issue, see Arthur Chickering, *Education and Identity* (San Francisco: Jossey-Bass, 1969).

[8] A discussion of this milieu may be found in Nevitt Sanford, "Academic Culture and the Teacher's Development," *Soundings*, 54 (1971), 357-371.

[9] See the recent publications of the Cooperative Assessment of Experiential Learning project (Educational Testing Service, Princeton, New Jersey) and of the Center for Individualized Learning at Empire State College (Saratoga Springs, New York).

[10] Diamond, *Instructional Development*, Chapter Three.

[11] Lawrence Alexander and Stephen Yelon, eds., *Instructional Development Agencies in Higher Education* (East Lansing, Michigan: Michigan State University Press, 1972).

[12] Presentation made at Syracuse University's Center for Instructional Development Conference on Instructional Development (July, 1976).

[13] Richard Weatherman and Karen Swenson, "Delphi Technique," in Stephen Hencley and James Yates, eds., *Futurism in Education* (Berkeley: McCutchan, 1974), pp. 97-114.

[14] Frederick Ignatovich, "Morphological Analysis," in Hencley and Yates, *Futurism in Education*, pp. 211-234.

[15] For more information, see William Gordon, *Synectics* (New York: Collier, 1961); and George Prince, *The Practice of Creativity* (New York: Harper and Row, 1970).

[16] William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development* (Washington, D.C.: Council for the Advancement of Small Colleges, 1975), pp. 219-222.

[17] For more information about this program, contact Dr. Curt Huber, Pacific Lutheran University, Tacoma, Washington.

EXERCISE NUMBER TWO

TITLE: **Alternative Means of Determining Course Goals and Objectives**

SOURCE: **William H. Bergquist, based on the practices of Carol Zion, Miami-Dade Community College, and Betty Hunter, Hunter College**

GENERAL DESCRIPTION: **Many faculty find that the direct and sometimes mechanical operation of specifying goals or objectives that are criterion-referenced or behaviorally-based is offensive or at least not very interesting. While faculty must give serious and detailed attention to the goals and objectives of the courses they are teaching if they wish to re-conceptualize and re-design these courses, the process of defining and specifying course goals and objectives must be presented in a manner that faculty find intriguing and expansive. Listed below are several alternative means that can be offered to faculty to help them begin discussing course goals and objectives. These procedures are intended to be illustrative rather than definitive.**

INSTRUCTIONS FOR USE:

1. **Faculty members are asked to engage in the following brief speculation or fantasy:**

   Imagine that you are relaxing under a tree on your campus. It is a nice spring day. Behind you are a group of your senior students who are about to graduate. They are talking about a course that they have taken from you and agree that this course was the most valuable one they have taken while students at your school. Imagine that you have overheard their entire conversation. What have they said about your course?

2. **Faculty members are asked to consider the following hypothetical situations and questions:**

   Imagine that one half of the students taking your course will be dead before the end of the semester. You do not know which of the students will die. Would you teach your course differently than you do now? Why? Would you like your students to have learned anything different than they now do?

   Imagine that one half of your students have to quit school before the end of the semester in order to go to work full-time. Would you change the way you are teaching the course? Why? Would you like your students to have learned anything different than they now learn?

   What if one half of your students received major inheritances at the end of the current semester, so that they never have to work but do have to play a significant and influential role in national or international events. Would you change the way you are teaching your course? Why? Is there anything different you would like these students to learn?

3. Faculty members are again asked to speculate on a hypothetical (though desirable) situation:

> Imagine that the course has just concluded. You have just met with your students for the last time. Both you and your students agree that this has been a very successful course. What is the basis for your students' enthusiasm about the course? What is the basis for your enthusiasm? How will you know that the course has been successful? What have been the most important learnings for students who have taken this course? What can your students do at the end of the course that they probably couldn't do at the beginning? What have you learned from this highly successful course? What specifically can you do right now to help ensure that this highly successful course actually takes place?

EXERCISE NUMBER THREE

TITLE: Intellectual Dichotomies

SOURCE: William H. Bergquist, based in part on the practices of David Halliburton, Stanford University

GENERAL DESCRIPTION: In course design it is essential that the professor assess not only the goals and structure of the course but also the intellectual assumptions that underlie critical decisions concerning the content and presentation of the course. While there are many different intellectual assumptions that are relevant to the design of a course — some of which are particular to the discipline or specific course — several are of general relevance to most courses. These assumptions relate to four intellectual dichotomies that pervade most academic disciplines and are recurrent themes in intellectual history and the philosophy of education: (1) micro (part) versus macro (whole), (2) distal (far) versus proximal (near), (3) phenomenon versus structure and (4) accommodation versus assimilation. Each of these dichotomies are more fully described in the handout entitled "Four Intellectual Dichotomies" which accompanies this exercise.

Most faculty find this exercise to be interesting and relevant to their instructional concerns. Instructors who resist discussions about teaching practices or personal or organizational development activities will often find that a discussion of the intellectual assumptions which underlie their teaching is acceptable, for it fits their self-images as thoughtful scholars. Many find these dichotomies intriguing; they will often fight against them, re-conceptualize them and restate them in terms that are more familiar to their discipline. Most importantly, they will talk about these dichotomies in relationship to their current or desired teaching practices. This exercise has rarely failed to elicit a lively and meaningful discussion among faculty.

INSTRUCTIONS FOR USE: The handout entitled "Four Intellectual Dichotomies" should be distributed to all participating faculty at a departmental meeting, committee meeting, workshop, conference or retreat. The faculty should be given about fifteen minutes to read the descriptions of each dichotomy and to review briefly the accompanying questions. Faculty members can then meet in small groups to discuss all four; this discussion will usually last two to three hours. As an alternative, individual faculty members can choose to discuss one of the four dichotomies in some depth. In this case, the faculty should divide into small groups on the basis of shared interest in a particular dichotomiy. These more focused discussions will usually last an hour or so. The faculty might then elect to discuss a second dichotomy in some depth. New discussion groups can then be formed around the new shared interests.

The leader of this exercise should move from group to group during the discussion period, facilitating the conversation and encouraging the faculty to examine the implications of these dichotomies for their own teaching. The groups should also be encouraged to redirect their attention to the questions contained in the handout if their discussion seems to be wandering. The leader might also want to stop the discussion temporarily at its mid-point and ask each group to summarize briefly the major points of concern in their group. This not only enables each group to crystalize its discussion but also provides each with new ideas and emphasizes from the other groups.

If the faculty who are engaged in this exercise come from several different disciplines, the leader should emphasize the value of interdisciplinary conversations and encourage the faculty to work with colleagues from different disciplines. The interdisciplinary exchange of ideas about these four dichotomies not only tends to demonstrate that many intellectual issues cross over disciplinary boundaries but also to open the channel for a valuable interdisciplinary exchange of ideas about course design and related instructional issues.

FOUR INTELLECTUAL DICHOTOMIES

Introduction:

As faculty members we are constantly confronted with the challenge of designing educational experiences which encourage the intellectual growth of our students. We must design courses that are responsive to goals that are often only vaguely perceived, using resources that are often quite limited. Underlying this often difficult process is a set of assumptions which each of us hold concerning the way in which the subject matter of our courses should be organized and conveyed to our students. Thomas Kuhn, the noted historian of scientific revolutions, speaks of the "paradigms" which underlie and influence a scientist's perceptions of a specific phenomenon. As college teachers, we seem to be confronted with similar paradigms that influence and possibly even constrain the way in which we view the subject matter we are teaching. An exploration of these assumptions or paradigms would seem to be of value to us as teachers and scholars.

The Task:

Four intellectual dichotomies have been identified by faculty as being of frequent concern in their design of courses or programs, which do not seem to be unique to any one discipline or area of study. Faculty find that in the case of all four dichotomies, neither element can be ignored. They are then confronted, however, with the dilemma of choice between these two essential elements. The choices that are made in the case of all four seem to influence significantly the way in which a course is taught.

Please read the descriptions of each dichotomy and briefly review the questions that accompany the descriptions. In a few minutes you will be asked to join with several of your colleagues in a discussion of one or more of these dichotomies. This discussion should be of value to you in clarifying the ways in which your reactions to each dichotomy is reflected in or influences the design of courses that you are teaching.

Dichotomy One: Micro versus Macro

Some faculty tend to emphasize the constituent parts of any phenomenon that they are examining in the classroom. Other faculty tend to emphasize the totality of the phenomenon. The constituent analysis of a phenomenon represents a *micro perspective;* it focuses on mechanisms and the interaction among subunits of a system. A *macro perspective,* on the other hand, emphasizes holistic approaches to the study of a phenomenon. A faculty member who emphasizes a macro-perspective will treat complex events, institutions or ideas as single entities rather than as the sum total of many smaller parts.

Both perspectives are essential to the thorough understanding of any phenomenon. Both also have their failings. The micro perspective is inadequate under conditions when "the whole is greater than the sum of its parts." Conversely, though a macro perspective describes a phenomenon, it rarely provides an explanation of its occurence, as does a micro perspective.

The dichotomy between macro and micro perspectives has numerous implications for the way in which our courses are organized and the way in which we select the content for them. Following is a set of questions which can be of use to you in considering the implications of this dichotomy for your own courses; you may want to focus on a specific course, if your courses vary widely in terms of structure or content:

1. How do you tend to start your courses with reference to these two perspectives? Do you begin by describing a large, complex phenomenon (macro perspective)? Do you begin by offering a detailed analysis of one aspect of the phenomenon (micro perspective)? Do you begin by establishing a broad, general base of knowledge and information (macro) or by focusing on a specific event or concern (micro)?
2. What priority do you give to macro and micro perspectives in your courses? Do you emphasize the broad concepts and integrating principles or the specifics and details?
3. How do you sequence macro and micro elements in your courses? Do you tend to move from macro to micro or *vice versa?* How do you manage these transitions between macro and micro?
4. How have your decisions about the macro and micro perspectives (even if these decisions have been implicit) effected what your students have learned? What if you were to change your priorities or the ordering of macro and micro perspectives in one of your courses — in what ways would the course look different? What would the students learn that they do not now learn in your course?

Dichotomy Two: Distal versus Proximal

Faculty must constantly confront the problem of treating their subject matter from both a proximal (close) and distal (far) perspective. Should a faculty member convey the subject matter of a course in a manner that is immediate, relevant and subjective or in a manner that is remote in time or space, yet is objective and detached? The proximal perspective is more likely to attract and involve students, for they are likely to see the relevance of the subject matter to their immediate needs or interests. This perspective, however, is often near sighted and leads to the generation of short-term, incremental perceptions and solutions. We often are unable to learn important lessons from experiences that are very close to us and must often gain the vantage point of extended time or space in order to learn. The distal perspective enables us to gain an objective viewpoint, yet is often too remote or seemingly irrelevant to involve actively the attention and concern of students. We also frequently find that learnings from one time or place cannot be easily translated to another time or place.

Faculty will make at least implicit assumptions about which of these perspectives is most important or about which perspective should be offered first in a course. The following questions can help clarify your own personal assumptions about the proximal and distal perspectives; once again, you may want to focus on a specific course:

1. Do you tend to begin a course by presenting an immediate and pressing problem that is related to the field of study (proximal perspective)? Do you begin by describing the origins or heritage of the field being studied or by placing this field of study in its appropriate cultural context (distal perspective)? At the start of a course do you try to capture the students' attention by showing the relevance of the subject area (proximal) or do you try to provide the student with a historical or theoretical appreciation of the subject area (distal)?

2. Are you more likely to emphasize a distal or proximal perspective in your courses? Do students spend most of their time treating the subject matter of the course from a detached and objective perspective, or do they tend to become actively and emotionally involved in the subject area? Are you more interested in students gaining a broad perspective or a sense of excitement about the subject matter?
3. In what ways do you sequence the distal and proximal elements of your courses? Is there a tendency in your courses for a distal perspective to follow a proximal perspective or *vice versa*? How do you manage the transitions between proximal and distal elements?
4. What unique learnings have students gained from your courses, given your relative emphasis on ordering of distal and proximal perspectives? How would your courses look different if you were to change your emphasis or ordering? What difference would these changes make in the learnings of your students?

Dichotomy Three: Phenomenon versus Structure

In planning for a course we often must choose between an exposition of the principles or structures that underlie and determine a phenomenon and an exposition of the phenomenon itself. Should a faculty member begin with the presentation of a series of illustrative examples, then extract from these examples a set of basic axioms or themes (a movement from phenomenon to structure)? Alternatively, should the professor begin with a presentation of theory or principles, then move to a discussion of specific cases that exemplify this theory or principle (structure to phenomenon)? Do we emphasize the qualitative uniqueness of a specific event (phenomenological perspective) or do we emphasize the underlying similarity and quantitative difference between events (structural perspective)?

The following questions relate this dichotomy to the instructional issues that you may face in designing and implementating a course:

1. As you examine the early stages of a course that you have taught or will soon teach, is there an emphasis on the description and analysis of a unique and significant event, person or idea (phenomenon) or is there an emphasis instead on the description and analysis of basic theories or themes that are universally-applicable or at least applicable in many settings (structure)?
2. In your courses, do you tend to focus on specific works, events or people in their unique setting, or do you focus on general patterns and concepts that are commonly shared by or expressed through different works, events and people?
3. How do you sequence phenomenological and structural perspectives? Does one perspective tend to follow the other in the courses that you teach? How do you manage the transition between these perspectives?
4. Given a tendency toward either a phenomenological or structural perspective, what have your students learned that they would not otherwise have learned if the other perspective were emphasized? What other things would your students have learned if your courses had been designed differently with reference to the phenomenological and structural perspective?

Dichotomy Four: Accommodation versus Assimilation

Jean Piaget, the exceptional biologist and epistemologist, has described two different processes of learning: accommodation and assimilation. Accomodation involves the modification of existing intellectual organizations (conceptual models or maps) to become more compatible with one's perceptions of reality. Assimilation, on the other hand, involves the modification of one's perceptions in order to preserve the integrity of existing intellectual organizations and to provide fresh, new perspectives on this reality. All learning involves a blending of assimilation and accommodation processes.

In the design and implementation of courses and programs, faculty make certain implicit or explicit assumptions about the relative amount of assimilative and accommodating processing that they expect and want of their students. Does the professor want the course to alter in significant ways how students view some important aspect of their world (accommodation)? Conversely, does the professor want the students to be able to use the content of the course in a unique and potentially creative way (assimilation)?

An accommodating student will learn from a professor. This student will change as a result of new information and will benefit from the experiences and knowledge of the faculty member, as well as of books and peers. The assimilating student, on the other hand, will often generate penetrating questions and disturbing insights. This student will change others and can provide valuable resources to a course. The accommodating student is often perceived as being too passive and uninspired; the assimilating student is perceived as immature, intellectually arrogant and opinionated.

As you examine the way in which you design courses and programs and the type of student you would like to work with and encourage, the following questions might be of use:

1. In general, which type of student do you most enjoy working with: accommodating or assimilating? Under what conditions would you most like to work with accommodating students? Under what conditions with assimilating students?
2. Do you tend to design courses in such a way as to encourage accommodation or assimilation? Does the emphasis change from the start to the finish of a course? Do you want students to learn some facts (accommodation) before they go out on their own (assimilation)? Do you instead want your students to gain some experience (assimilation) before you provide them with information about standard practices or concepts (accommodation)?
3. How would you describe yourself as a learner? Under what circumstances do you tend to be an accommodating rather than assimilating learner? An assimilating rather than accommodating learner?
4. What would your courses look like if you were to change your relative emphasis on accommodation and assimilation? What would be the effect of these changes on the learning of your students?

Concluding Comments:

For many faculty, one or more of these four dichotomies seem to be closely interrelated. The macro perspective, for instance, may seem to be closely related to distal, structural or accommodating perspectives. Some faculty, however, will argue persuasively for the linkage between a macro and proximal perspective, or a macro and phenomenological perspective. In your discussion of one or more of these four dichotomies you may wish to explore these interrelationships.

EXERCISE NUMBER FOUR

TITLE: Dial-A-Course

SOURCE: William H. Bergquist, derived from the procedure called "morphological analysis," as discussed by Frederick R. Ignatovich, "Morphological Analysis," in S.P. Hencley and J.R. Yates, eds., *Futurism in Education* (Berkeley, Calif.: McCutchan Publishing Corp., 1974), pp. 211-234

GENERAL DESCRIPTION: Dial-A-Course provides an opportunity for faculty to explore nontraditional course designs. It is an exercise which is usually quite interesting for the participants, for as a group they must derive sometimes quite innovative designs to meet often bizarre and humorous conditions. The group will often find that the design they have produced is also appropriate under more normal conditions. Even more importantly, they will find that they can design an interesting and informative course to meet almost any instructional condition and hence will turn to the task of designing their own courses with new confidence and a more expansive image of what is possible.

The dial-a-course procedure is particularly useful as an opening exercise for a group that is beginning to design a course, or for a design team that has become stymied in its attempt to break out of traditional design modes or wishes to rejuvenate a creative spirit that seems to have disappeared. The dial-a-course procedure is not appropriate if the group is bogged down because of interpersonal problems or problems associated with course goals or roles; the exercise will tend to exacerbate rather than clarify or resolve these problems.

INSTRUCTIONS FOR USE: Dial-A-Course requires that a design team of usually no more than six faculty first identify a specific course on which it will focus its attention. This course can be an actual course on which this team is working, or it can be a hypothetical course. The design team should have a clear idea about the general goals and directions for the course before proceeding with the exercise. If more than six faculty are to be involved, then two or more design teams should be formed. These teams can all work on the same course or can each select their own courses to design.

If a large number of faculty will be engaged in this exercise, the leader may wish to divide the faculty into teams on the basis of traditional disciplinary groupings (physical sciences, behavioral sciences, humanities, professional programs), for in this way the teams can avoid the problem of finding a single course which all members will find interesting and intellectually accessible. Students and administrators might also be asked to join this exercise, for they offer interesting perspectives and ideas. Like most faculty, students and administrators find this exercise to be both enjoyable and provocative.

First, each team is asked to generate a five digit number which must contain digits that range between one and five; no more than two digits should be the same. This five digit number will be used in the selection of conditions for the course that the team is to design. If the "Dial-A-Course" handout, which accompanies this exercise, is used, the design team should record their five digit number at the top of the form.

Next, each design team identifies five parameters that are critical for the specific course that is being considered in this exercise. If there is more than one design team working on a specific course, then the total group might wish to identify these parameters, which should relate to the structure rather than content of the course. Following is a list of several which might be considered:

1. number of students taking the course;
2. time of day during which the course is being taught;
3. location of the course (where the course is being held);
4. average age or range of ages of the students taking the course;
5. length of each class period;
6. number of academic credits for successful completion of the course;
7. prerequisites for taking the course;
8. number of faculty who will be teaching the course.

The first five of these parameters are the ones most frequently used in this exercise; others will come readily to mind. The leader of this exercise might choose to use the "Dial-A-Course" handout, which already identifies five critical parameters.

For each parameter, the design team (or the entire group) selects five values that represent a range of *possible* values. The number of students taking a course might range, for instance, from a minimum of one to a maximum of the entire student body. Intermediate values might be 10, 40 and 100 students. Similarly, in the case of the age of students taking the course, the possible range might be from childhood (1-17 years) to old age (65 or older). Intermediate ages might be 18-24, 25-45 and 45-64. Certain parameters (for example, location) do not yield values that can be placed on a numerical scale; in this case they usually range from traditional to highly nontraditional locations, like a downtown store or a wilderness.

Figure Number One illustrates a course on "Alienation in the 1970's." Five parameters have been identified and listed on the left hand side of the matrix. The five values associated with each are listed in the five boxes located in the rows to the right of the parameter name. A matrix of this type should be formed to aid the design team in producing the appropriate values for each parameter. Numbers from 1 to 5 should be assigned to each value, as has been done at the top of the matrix. These numbers are needed as a reference for the five digit number that was generated in step two.

Each parameter must encompass a full range of *possible,* rather than *normal,* values. The dynamics of this exercise require that some of the values be quite unusual, if not a bit absurd. Encourage the design team to extend their perceptions of what conditions one *could* encounter in offering a college course.

If the "Dial-A-Course" handout is used, then the values for each of the five parameters have already been assigned. The design team, however, should be aware of how these values relate to the five parameters that have been identified. The leader of this exercise might want to modify the handout by providing only three parameters and three sets of associated values. The design team must then identify two additional parameters as well as a set of five values for both.

At this point, the design team uses the five digit number it has previously generated to determine what the course will be like that it is to design. The first digit of the number determines the value of the first parameter that will be assigned to this course. The second digit determines the value of the second parameter and so forth. The illustrative dial-a-course matrix is being used by a design team that has generated the following five-digit number: *13245.* The "Alienation in the 1970's" course will, therefore, be conducted for one student (parameter 1, value *1)* in the afternoon (parameter 2, value *3),* for one hour (parameter 3, value *2).* The student taking this course will be 46-64 years of age (parameter 4, value *4).* The course will engage the entire faculty (parameter 5, value *5).*

FIGURE NUMBER ONE
Illustrative Dial-A-Course Matrix

Name of Course: "Alienation in the 1970's"

Five Digit Number: 1 3 2 4 5

	Value				
Parameter Name	1	2	3	4	5
1. Number of students taking course	[✓ 1]	10	40	100	Entire Student Body
2. Time of day course is offered	Midnight	Morning	[✓ Afternoon]	Evening	Week-Ends
3. Length of class period	15 minutes	[✓ 1 hour]	3 hours	One Day	One Week
4. Age range of students taking course	1-17 Years	18-24 Years	25-45 Years	[✓ 46-64 Years]	65+ Years of Age
5. Number of faculty teaching course	0	1	2	4	[✓ Entire Faculty]

If the "Dial-A-Course" handout is used, each design team should associate the five digit number that has been written at the top of the form with the appropriate parameter values. These should then be circled, as has been done in Figure One. If the design team is creating its own matrix, the values that are chosen should be circled, as a memory aid to the team.

Once the team members are clear about what the conditions are that they face in designing this course, they should undertake their primary task, which is to determine how this course might be structured so that it can be responsive to these five parameter values. This designing phase is at first usually accompanied by humor and many bizarre ideas. The "Alienation in the 1970's" course, for instance, requires the entire faculty to teach one student. At first this prospect will seem humorous to many faculty. After the team settles down to the task of designing a course, however, many insights and interesting ideas soon emerge. In the alienation course, for instance, faculty might explore the idea that the single student in a course is himself alienated; hence, the course can be built around his feelings and experiences as an isolated student. How can the entire resources of a faculty be effectively used to help a single student? This question becomes of interest in not only the design of this course but more generally in the design of individualized learning experiences for students. An interesting set of questions and ideas will usually emerge, regardless of the course or parameter values that the design team confronts.

A faculty team usually needs fifteen to twenty minutes to produce the rudiments of a course design. The team should not be given too much time, however, for it will begin to get bogged down in the details of the course. At the end of this first design period, the teams should share their designs with each other if there are two or more teams and should briefly discuss the design process in which they were engaged. If time permits, the design team should then be given a second task. The five digit number that they have produced might be reversed. The team should then return to their original matrix and identify the new parameter values of the course, based on this new five digit number. In the case of our illustrative matrix, the "Alienation in the 1970's" course will now be taught to the entire student body (value: *5*), during evenings (value: *4*), for one hour (value: *2*). It will be taught to 25-45 year old students (value: *3*) by no faculty (value: *1*).

Once again, the team should engage in the task of designing a course that is responsive to these conditions. About fifteen to twenty minutes should again be devoted to this task. The process can be repeated any number of times by having a team generate a new number or by asking teams to exchange numbers.

The exercise should conclude with a general discussion about the designs that have been produced and the processes that have been used to arrive at the designs. Most importantly, the faculty should discuss the relevance of these designs to actual courses being taught under "normal" conditions in their institution. Aren't some of the ideas contained in the "dial-a-course" designs of practical value? Do they not offer an interesting alternative to the way in which the course is now being taught? Can't we offer this course at an unusual time or in an unusual location in order to enhance the student's learning in a specific way? Can't we let many more students take this course? What about attracting students of different ages for this course?

These are the types of questions that are typically generated in discussions that follow this exercise. In responding to these questions, faculty move beyond the gaming format of Dial-A-Course to a serious discussion of design alternatives. At this point, the exercise has served its primary purpose, and the discussion should increasingly focus on actual course design issues. At least one hour should be allowed for this discussion.

DIAL - A - COURSE

Course Title: ____

Five Digit Number: ___ ___ ___ ___ ___

Parameter Name	*Parameter Value*				
	1	2	3	4	5
1. Number of students taking the course	1	10	40	100	Entire Student Body
2. Time of day that the course is offered	Midnight	Morning	Afternoon	Evening	Weekends
3. Location of the course	Classroom	Dormitory	Chapel/ Library	Downtown Store	Wilderness
4. Length of each class period	15 minutes	1 hour	3 hours	1 day	1 week
5. Age range of students taking the course	0-17 Years	18-24 Years	25-45 Years	46-64 Years	65+ Years

Section III

Organizational And Personal Development

Chapter Seven

Organizational and Personal Development: An Overview

Colleges and universities are often not very healthy places in which to work. Supposedly committed to the growth and development of young adults, higher education too frequently offers them only a series of disconnected intellectual abstractions and their teachers little or no incentives to change. Supposedly committed to the highest moral and intellectual values, higher education is too often the province of triviality and irrelevance. Supposedly a source of power, higher education too often seems inhabited only by the figures of Eliot's poem:

> We are the hollow men
> We are the stuffed men
> Leaning together
> Headpiece filled with straw. Alas!
> Our dried voices, when
> We whisper together
> Are quiet and meaningless
> As wind in dry grass
> Or rats' feet over broken glass
> In our dry cellar
> Shape without form, shade without colour,
> Paralysed force, gesture without motion. . . .

We all at times seem to be waiting only for the end, which, as Eliot suggests, will come "Not with a bang but a whimper." *

A catalogue of reasons might be offered to explain this situation; let us suggest a few of our own:

Isolation: faculty are isolated from each other by departments, divisions and schools, by professions, disciplines and specialties. Significant interpersonal relationships among colleagues are rare.

Powerlessness: faculty often seem to feel as if they have lost control over their personal and professional lives. Important decisions seem always to be made somewhere else; the evaluation of their own performance is rarely in their own hands.

Time: faculty have too little time in which to do too much, yet much of what they are asked to do is trivial and without substance.

Lack of Professional Growth: as higher education faces increasingly severe financial restraints, funds needed to help faculty grow even within their disciplines become more and more scarce.

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* From "The Hollow Men" in Collected Poems 1909-1962 by T.S. Eliot, copyright 1936, by Harcourt Brace Jovanovich, Inc.; copyright, © 1963, 1964, by T. S. Eliot. Reprinted by permission of the publishers.

Emphasis on the Rational: the dominant paradigm of higher education is rational and empirical; the human potential that each of us has to feel as well as think, to value as well as criticize is too often ignored or stifled.

Confused Values: quality is held as the highest value, yet the bottom line seems to be FTE's and money; the contemplation of ideas as an end in itself is defended, yet power plays and political manipulation seem the rule; excellence is cherished, yet prosaic and trivial ideas (and people) abound.

The list could be longer; each of you can add your own.

It may be that even an attempt to humanize higher education is simply too vast an undertaking to be considered seriously; it may also be that this is one of the most important tasks faculty development can address. Perhaps entire institutions cannot be changed, yet certainly parts of them can; individuals and even departments and divisions can be helped to function more effectively. Organizational and personal development can make a difference in the lives of groups and individuals. The four chapters in this section — on Leadership, Interpersonal Skills, Life Planning and Values Clarification — may assist that process.

Chapter Eight

Leadership

Academic leadership is not easy. If a chairperson or administrator is working with a department or a committee he is faced with a diverse set of individuals, many of whom have varying goals and objectives, and most of whom have little or no training in how groups can work effectively together. Institutional leadership is even more difficult. Vision is essential but it is not enough; senior administrators often find themselves leading in directions few wish to go. Yet a laissez faire approach to academic leadership certainly will not do, for the conditions of higher education today are such that a floundering and directionless operation will likely find itself headed for oblivion.

It would be easy to call in this chapter for a new kind of academic leadership, one that would have the flexibility and the resources needed to meet the challenge of the last quarter of this century. Such a call would be dramatic if nothing else but probably in error, for it seems more accurate to suggest that higher education needs not a new approach to leadership but rather an application of a number of principles of leadership that have already proven to be effective. Consequently in this chapter we would like to look at some of the basic theories that have been developed about leadership. We will examine various definitions of leadership, present a categorization of leadership styles and look at some of the situational variables related to leadership. These discussions, and the training experiences that follow, will perhaps help both faculty and administrators to examine coherently and logically an issue that is of central concern to us all.

A. Definitions of Leadership

Certainly one of the reasons leadership is so difficult to discuss objectively is that it is extremely difficult to define. Among the numerous definitions of leadership that have been offered, five appear to stand out with some distinction:

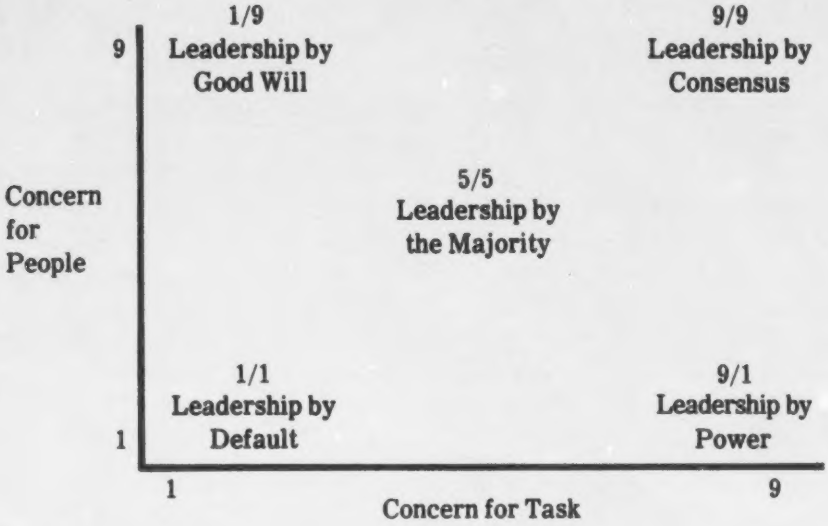
1. A leader is the focus of group behaviors.
2. A leader is the person who is able to direct a group toward its goals.
3. A leader is a person so named to that position by the members of the group.
4. The leader is one who is able to change the level of a group's performance.
5. The leader is that person who engages in leadership behaviors.[1]

Obviously, there are limitations and exceptions to each of these definitions, particularly to the first three. A person engaged in self-referencing or destructive behavior may well be the focus of the group but certainly will not be the leader. A very powerful or dictatorial leader may lead a group not toward but away from its real goals. A person appointed to a leadership position may nevertheless not be the actual leader of the group. The last two definitions are somewhat more productive, for both imply that the leadership function in a group may be shared by more than a single individual. Yet even these definitions have their limitations, for neither identifies the assumptions and philosophies that lie behind different leadership behaviors. Rather than attempt to argue for a particular definition of leadership, therefore, it would be better to examine different leadership styles.

B. Five Leadership Styles

Drawing on the work of R. R. Blake and Jane Mouton, Jay Hall and Martha Williams have suggested that in any leadership situation at least two factors are present. A leader can be concerned with the task at hand or he can be concerned with the people involved in the task. The degree of concern for one or both of these factors allows the identification of five different leadership styles.

If we assume that in most approaches to leadership concern for task and concern for people are salient features, we can plot those two factors as the two axes of a leadership grid. If each axis is scaled from one to nine, then a combination of numbers, the first representing concern for task and the second concern for people, will serve to identify different leadership styles. Thus, a leadership style of 9/1 would be one that expressed a maximum concern for the task at hand and a minimum concern for the people involved in the task, while a style of 1/9 would indicate a maximum concern for people and a minimum concern for the task. Using this format, five separate leadership styles can be distinguished, as represented on the following diagram:[3]



1. Leadership by Power

The 9/1 leader sees the task or purpose of the group as being of paramount importance; he demonstrates little trust in the ability of individuals to assume responsibility and carry out tasks without direction. He usually reserves final decision-making and goal setting authority to himself and generally attempts to maintain control and direction of the group. Frequently he is the most active member in the implementation of assigned tasks. Evaluation of individual or group activity is relatively negative and punative. The 9/1 leader makes decisions through the force of his own official or unofficial power; conflict is seen as a win/lose situation in which he as leader must always win. In short, the 9/1 leader is what earlier studies of leadership styles have identified as the autocratic leader.[3]

2. Leadership by Good Will

The 1/9 or "laissez faire" leader shares with the autocratic leader a lack of trust in the abilities and energies of others. His behavior, however, is quite different, for instead of focusing on the task at the expense of the individuals involved, he concerns himself almost exclusively with maintaining a high level of morale and at least superficially good interpersonal relations. Responsibility for planning, goal setting and implementation are frequently left entirely up to the group, with the 1/9 leader playing either an inactive or a supportive role. Decisions are made not on the basis of adequacy but on the basis of the extent to which all members of the group can support the decisions. Because he distrusts both the group's and his own ability to handle difficult interpersonal relations, conflict is avoided by the 1/9 leader as much as possible.

3. Leadership by Default

The 1/1 leader is concerned neither with the task nor with the people involved. Since task and people are seen as being in conflict, this individual, rather than choosing one or the other, withdraws from both, either through inaction or cynicism. Precedent is frequently cited to justify his belief that nothing significant is going to happen anyway; implementation and evaluation of assigned tasks are both conducted in a *pro forma* manner. Decisions are often made by default; avoidance or withdrawal characterize the 1/1 leader's response to conflict.

4. Leadership by the Majority

The 5/5 leader still sees task and people as essentially incompatible. Although his primary concern tends to be with the task, he is usually willing to give considerable attention to interpersonal issues, not for their own sake but to ensure the successful completion of the task. Although the group may be allowed to determine policy, the 5/5 leader, through persuasion, argumentation and even political power, will make a strong attempt to ensure that the group's decisions reflect his own ideas. Finally decision-making authority, however, usually rests with the majority of the members in the group; conflict is most often handled through negotiation and compromise. At its best this style of leadership produces the democratic environment identified in classic studies of leadership styles; as its worst the 5/5 approach produces groups concerned more with political manipulation and power than with effective operation.

5. Leadership through Consensus

Each of the four leadership styles discussed above sees task and people as incompatible; that is, a high concern for one implies a correspondingly low concern for the other. The 9/9 leader, however, sees task and people not as irreconcilable but as necessarily complimentary. Full involvement of all members of the group in planning, goal setting, implementation and evaluation is seen as the best possible approach to both personal satisfaction and the successful completion of the task. The 9/9 leader consequently attempts to produce this involvement by frequently sharing leadership functions with others in the group. Decisions are made by consensus; conflict is seen as a source of creativity and new ideas.

C. Situations

The five leadership styles identified by the leadership grid are based on the relative concern of the leader for task and people, since these are almost by definition universals in any decision-making situation. A broader issue yet remains, however, for leadership takes place in a larger context. The pressures of time, for instance, can play a large part in the kind of leadership that will be most effective. Clearly, the greater the time pressure the more difficult it becomes to involve people in the leadership process—consensus may have to be abandoned for majority support; even unilateral action may at times be necessary. Moreover, there are powerful forces affecting leadership in the nature of the task itself. If the individual members do not have the knowledge or expertise required to complete the task, then consensus is not likely to be very desirable or possible. If the complexity of the problem is such that special experience is needed for its solution, then even a majority vote may not be of great significance.

At least one study has been completed that highlights the important role the nature of the task plays in determining the required leadership style. Two general approaches to leadership were initially identified. The first was similar to the 9/1 leadership style outlined above; leaders demonstrating this style "are concerned with achieving success on assigned tasks, even at the risk of having poor interpersonal relations with fellow workers." The second style was similar to a 1/9 leadership style; these "leaders are concerned with having good interpersonal relations and with gaining prominence and self-esteem through these interpersonal relations."[4] Unlike the 1/9 style, however, this approach to leadership did not deny the importance of the task at the expense of people; rather task was a concern not in and for itself but as a means to successful interpersonal relationships. Subjects demonstrating one or the other of these two leadership styles were given group tasks of varying degrees of structure (structure being defined as the extent to which the goal of the task was clear, the path to that goal certain and the solution clearly right or wrong). According to the results of the study, the 9/1 leader was more effective in situations in which the structure of the task was either very clear or very unclear; the leader with a high level of concern with interpersonal relationships was more successful in moderately unstructured situations. The implications of this study seem to be that

> when the situation is very favorable, the leader can be managing and controlling without arousing negative responses by group members; because things are going well, there is no reason to reject the directive behaviors of the leader. On the other hand, when the situation is highly unfavorable, things are going badly, and the group is in danger of falling apart, then directive leadership is required. . . . But if the situation is only moderately favorable, the group expects to be treated with consideration, and the permissive . . . leader is more effective.[5]

Clearly, then, the most effective leaders would be those who have a fairly broad repertory of leadership styles and the sensitivity to use the appropriate style as the situation changes.

D. Summary

Numerous variables impinge on the question of leadership. The personalities of the individuals involved, the task at hand, its complexity and the amount of time available to solve it, even the way an individual defines leadership all can play an important part in the successful completion of a project. Perhaps one factor, however, is even more important and that has to do with the amount of knowledge the task group — whether a committee or an entire community — has about leadership, decision-making and conflict management. An administrator or department chairman fully committed to consensus leadership will have considerable difficulties working with a faculty that believes all decisions should be made by parliamentary procedure; a faculty member who believes decisions should be made by those individuals in positions of power will only be confused by a dean who wishes to share the responsibility and authority of leadership. The exercises that follow present a number of ideas and experiences that hopefully will be useful not only in leadership training sessions but also in general faculty development workshops as well. Through these exercises both leaders and followers can come to a more sophisticated understanding of the complexity of this most difficult yet most important of concerns.

NOTES:

[1] L. F. Carter and others, "A Further Investigation of the Criteria of Leadership;" discussed in Marvin E. Shaw, *Group Dynamics: The Psychology of Small Group Behavior* (New York: McGraw-Hill, 1971), pp. 267, upon which this discussion is based.

[2] The leadership grid is ultimately based on Blake and Mouton's *The Managerial Grid* (Houston, Texas: Gulf, 1964); the present discussion is based on Hall and Williams' "Styles of Leadership Survey," distributed commercially by Teleometrics Int'l, Conroe, Texas.

[3] Kurt Lewin and others, "Patterns of Aggressive Behavior in Experimentally Created 'Social Climates,'" *Journal of Social Psychology*, 10 (1939), 271-299; Ronald Lippitt and R.K. White, "The 'Social Climate' of Children's Groups" in R. G. Barker and others, eds., *Child Behavior and Development* (New York: McGraw-Hill, 1943), pp. 485-508. These studies identified two other styles, the laissez faire style (similar to the 1/9 approach discussed below) and the democratic style (similar to the 5/5 approach).

[4] F. E. Fiedler, *A Theory of Leadership Effectiveness* (New York: McGraw-Hill, 1967), pp. 45-46, quoted in Shaw, *Group Dynamics*, p. 276.

[5] Shaw, p. 277.

INSTRUMENT NUMBER THIRTEEN

TITLE: Observation of Leadership Functions

SOURCE: Adapted from an anonymous handout on "Individual Roles in the Group" and from Kenneth D. Benne and Paul Sheats' classic article, "Functional Roles of Group Members" in *Journal of Social Issues,* 4 (1948), 41-49

GENERAL DESCRIPTION: One of the most important parts of a leadership training program is to help individual group members become aware of the functions a group needs to perform effectively. Too often such efforts merely help participants speculate about their own leadership styles and extol in relatively vague ways the importance of consensus decision-making. The following handout and observation form should provide individuals with a more sophisticated and more specific understanding of group operation.

INSTRUCTIONS FOR USE: The "Observation of Leadership Functions" handout and the "Leadership Observation Form" are designed to be used together. After participants have had a chance to read and discuss the handout on leadership roles, they should be given an opportunity to observe a small group at work on such tasks as "Prediction" (Exercise Number Five), "The Treasure of the Sierra Madre" (Exercise Number Six), or "Speeds" (Exercise Number Seven). If time permits, two or more of these tasks can be used so that all participants have the opportunity both to observe and be observed.

Variations:

1. Particularly if participants have not had a great deal of experience observing groups, it is useful to have them work in teams or have them divide observation responsibilities, with one observer watching a single group member or taking a particular area of behavior (task, maintenance, or self-orientation) as her responsibility.
2. One or more of the participants can be given a role card (secretly if desired), asking him to demonstrate one or more specific functions.
3. The task groups could be formed on the basis of some kind of measurement instrument like several of those available through Telemetrics (see "References and Further Readings" section to this chapter). Participants with similar approaches to leadership might profitably be grouped together.

Observation of Leadership Functions

In general, leaders emerge in groups as a function of the ability of an individual to contribute to the needs of the group. When those needs change, leadership changes, unless the social structure is such that change cannot occur. Under these conditions, the system of formal leadership remains, while an independent, informal leadership system develops. A committee, for instance, may have an elected or appointed leader — usually a role filled by the chairperson — while the actual leadership may lie among one or more of the group's members.

Instead of thinking in terms of an individual leader, therefore, it might be more fruitful to focus on the various behaviors that occur in a group and to examine these in terms of their contribution to the achievement of the group's goals. These behaviors, then, would be defined as the leadership functions taking place in the group. For a group to operate effectively, certain kinds of functions must be performed by the members of the group. These can be classified as either *task functions* or *maintenance functions*. A third kind of activity, identified as *self-oriented functions*, decreases the effectiveness of the group. A person showing these behaviors tends to draw the group's attention to himself and away from the achievement of the group's goals.

Task functions are those activities that relate directly to the task, the project or the problem the group is working on. Maintenance functions relate more directly to the process aspect of the group's operation, to the procedures and organizations the group is using to reach its goal. Studies indicate that groups that successfully achieve goals over an extended period of time are those that have members performing both task and maintenance functions. The group is not only meeting its immediate work objectives but is also building its own resources and skills for working effectively together. Such a group is aware of its own process and can supply needed maintenance functions.

Groups that limit themselves only to task functions may be very effective for short periods of time but eventually can develop the kind of internal conflicts that tend to reduce their effectiveness and disrupt the group. A group that exercised only maintenance roles might at first develop a happy, country-clubbish feeling, but certainly such a group would not be very productive. Finally, if a number of people were brought together for some purpose or project who exercised only self-oriented functions, either chaos or arbitrary action would result.

Task, maintenance and self-oriented functions may each be subdivided into a number of particular activities as follows:

Task Functions

1. *Initiating, contributing:* suggesting or proposing new ideas or changed ways of looking at the problem or goal; suggesting a new goal for the group, a new definition of the problem, a possible solution or new way of handling difficulties or a new procedure or way of organizing the group.
2. *Information seeking:* asking for clarification of suggestions in terms of their factual adequacy; seeking information and facts pertinent to the problem or task.
3. *Opinion seeking:* asking for clarification of the values relevant to the group's task or of the values inherent in proposed solutions.
4. *Information giving:* supplying facts and information that are "authoritative"; relating personal experience relevant to the group's task.
5. *Opinion giving:* pertinently stating beliefs or opinions concerning suggestions or alternatives.

6. *Elaborating:* spelling out suggestions through examples or developed meanings; offering a rationale for previous suggestions; attempting to deduce how a suggestion might work out if adopted by the group.
7. *Coordinating:* showing or clarifying the relationship between ideas or suggestions; coordinating the activities of members and/or various sub-groups.
8. *Orienting:* defining the position of the group in relationship to its goals by summarizing what has taken place, pointing to departures from agreed upon directions or raising questions about the direction which the group discussion is taking.
9. *Evaluating:* subjecting the accomplishments of the group to some standard of operation in relationship to the group task; evaluating or questioning the "practicality," the "logic," the "facts" or the "procedure" of a suggestion or idea.
10. *Energizing:* prodding the group to action or decision; stimulating or arousing the group to "better" activity.
11. *Acting as procedural technician:* expediting group activity by performing routine tasks like distributing materials, arranging seating and so forth.
12. *Recording:* writing down suggestions, making a record of the group's activities and decisions.

Maintenance Functions

1. *Encouraging:* praising, agreeing and accepting the contributions of others; indicating understanding and acceptance of other points of view, ideas and suggestions.
2. *Harmonizing:* mediating the differences between other members; attempting to reconcile disagreements and relieve tension.
3. *Compromising:* operating from within a conflict in which his ideas or position is involved, the compromisor may yield status, admit error or discipline himself to maintain group harmony.
4. *Gate keeping and expediting:* attempting to keep communication open by encouraging or facilitating the participation of others or by proposing regulation or limits on the flow of communication.
5. *Standard setting:* expressing standards for the group in its functioning; applying standards in evaluating the group process.
6. *Observing and commenting:* keeping records of various aspects of group process; supplying this information, with interpretations, to the group's evaluation of its own procedures.
7. *Following:* going along with the movement of the group; accepting the ideas of others; serving as an audience in group discussion and decision.

Self-oriented Functions

1. *Aggressing:* deflating others, expressing disapproval of other's values, acts or feelings; attacking the group or the task; aggressively joking; trying to take credit for another's contribution and so forth.
2. *Blocking:* adopting a negative and stubborn stance; disagreeing and opposing without or beyond reason; attempting to maintain or bring back an issue after the group has rejected or by-passed it.

3. *Recognition-seeking:* calling attention to oneself through boasting, recounting personal achievements, acting in unusual ways and so forth.
4. *Self-confessing:* using the group to express personal, non-group oriented, feeling, insight, ideas and beliefs.
5. *Withdrawing, avoiding involvement:* making a display of a lack of involvement through cynicism, nonchalance, horseplay or other more or less studied forms of behavior.
6. *Dominating:* attempting to assert authority or superiority in manipulating the group or certain members; flattering, asserting a superior status or right to attention, giving directions authoritatively, interrupting others and so forth.
7. *Help seeking:* attempting to call forth sympathy from other members or from the group as a whole.
8. *Pleading special interests:* speaking for a particular interest group; cloaking prejudices or biases in a stereotype position.
9. *Depending:* attempting to identify with a strong individual or sub-group.

Leadership Observation Form

Leadership may be defined as the functions or behaviors needed in a group to help that group grow and work productively. These functions may be focused in a single individual or spread throughout the entire group. This observation form is designed to help identify the leadership roles actually taking place in the group you are observing. List the names of the group's members across the top of the form, then record instances of various behaviors in the appropriate boxes.

TASK FUNCTIONS	Initiating, contributing:							
	Information seeking:							
	Opinion seeking:							
	Information giving:							
	Opinion giving:							
	Elaborating:							
	Coordinating:							
	Orienting:							
	Evaluating:							
	Energizing:							
	Procedural technician:							
	Recording:							
MAINTENANCE FUNCTIONS	Encouraging:							
	Harmonizing:							
	Compromising:							
	Gate-keeping:							
	Standard setting:							
	Observing, Commenting·							
	Following:							
SELF-ORIENTED FUNCTIONS	Aggressing:							
	Blocking:							
	Recognition-seeking:							
	Self-confessing:							
	Withdrawing:							
	Dominating:							
	Help-seeking:							
	Pleading:							
	Depending:							

INSTRUMENT NUMBER FOURTEEN

TITLE: Role-Perception Survey

SOURCE: Frederick Fosmire, University of Oregon, and John L. Wallen, Neotsu, Oregon; derived from the theories of Robert Bales

GENERAL DESCRIPTION: The "Role-Perception Survey" assesses task and maintenance orientations in an interesting and useful manner. Members of the group are first asked to indicate the extent to which each member contributes to the maintenance of the group, and then to assess contributions of each member to the accomplishment of group tasks. These scores are tabulated, shared with the entire group and used as a basis for discussion of group roles and processes.

INSTRUCTIONS FOR USE: This instrument should be given out to a group which has met for a total of at least five or six hours. Each member is asked to determine the percentage of contribution made by himself and each other member to the maintenance and task functions of the group. Some group members may have to be encouraged to complete this instrument, for it is often hard to state with any precision what the contributions of each member have been. At times some members will be more willing to fill out the instrument if they are given several concrete examples of task and maintenance behavior that has occurred recently in the group, or if several criteria are suggested to them whereby the percentages can be determined (for example, the amount of verbal behavior related to task or maintenance; the influence of each member in areas of task and maintenance; and the way in which the member exhibits leadership or "followership" in the group).

The survey should be completed anonymously. The scores should be totaled and conveyed to the group members; bar graphs often provide a dramatic way of presenting the results. The group may then want to discuss such relevant questions as:

1. How does each member react to their composite ratings? Do they agree with the ratings? Do they like the ratings?
2. Should some members of the group play more or less active roles in the task or maintenance areas? How would this changed level of activity take place, and how would it be sustained?
3. Are there any major disagreements about the current or desired roles of any group members? What are the implications of these discrepancies for the functioning of this group?
4. Does this group tend to place greater value on either task or maintenance functions? How do these different emphases influence group roles and processes?

Variations:

1. The "Observation of Leadership Functions" from Instrument Number Thirteen can profitably be used to accompany this survey.
2. If the level of trust in the group is fairly high a third question and form could be developed asking the members of the group to provide ratings on self-oriented functions.

Role-Perception Survey

Directions:

For each of the ratings below imagine that the value of the contributions from all members equals 100%. Then beside each member's name show what percentage of the total effort you would attribute to him. You may give a member any score from 0 to 100 on each question. Remember that the scores for all members must add up to 100. Be sure to list your own name and put a score for yourself.

QUESTION A

Show how much each member contributed to making this a smooth-working, friendly, comfortable group by such acts as encouraging others to participate, showing interest in the feelings of others, helping resolve tensions and misunderstandings, providing support when members were feeling uneasy or upset, and, in general, showing concern for how well the members of this group got along together.

MEMBERS *SCORE*

1)______________________________(___)

2)______________________________(___)

3)______________________________(___)

4)______________________________(___)

5)______________________________(___)

6)______________________________(___)

7)______________________________(___)

8)______________________________(___)

9)______________________________(___)

10)______________________________(___)

11)______________________________(___)

12)______________________________(___)

Total must equal 100

QUESTION B

Show how much each member contributed toward the group's achievement by such acts as providing good ideas, suggestions, and information, by keeping the group on the ball, summarizing what had been accomplished and what needed to be done, and, in general, showing concern for productivity — for getting a lot of work done.

MEMBERS *SCORE*

1)____(___)

2)____(___)

3)____(___)

4)____(___)

5)____(___)

6)____(___)

7)____(___)

8)____(___)

9)____(___)

10)____(___)

11)____(___)

12)____(___)

Total must equal 100

INSTRUMENT NUMBER FIFTEEN

TITLE: Organizational Leader Inventory

SOURCE: Adapted from an anonymous inventory of the same title

GENERAL DESCRIPTION: The following inventory is designed to be completed by individuals in leadership positions, including, of course, numerous faculty members. Participants are asked to reflect in a systematic manner over various aspects of their organizational life, then to share those reflections with a few colleagues.

INSTRUCTIONS FOR USE: Participants should first complete the "Organizational Leader Inventory" on their own, then use it as the basis of a discussion of their ideas with two or three others.

ORGANIZATIONAL LEADER INVENTORY

I. Peak (high) Organizational Experiences

Name some peak experiences you are presently having or have experienced at some time in the past since becoming a member of your institution. In other words, recall some events, experiences, programs, projects or things which really mattered to you — times when you were really proud of being a member of your institution.

II. Valley (low) Organizational Experiences

Using the explanation for peak experiences, identify from the present or recall from the past some of those valley (low) experiences that adversely influenced or affected you — times when you were really unhappy with or angry at the organization.

III. Things I Do Well

Organizational leadership skills, techniques, capabilities and so forth you are to some degree master of and do well in rendering service to the institution.

IV. Things I Do Poorly

Include those things that you do poorly which you do not want to do, but because of the nature of the position you now hold, you are required to do.

V. Things I Would Like To Stop Doing

What things are you presently doing in your organization that you would like to stop doing? These may be either tasks or responsibilities you don't like or don't do well or more personal behaviors that are causing you difficulty.

VI. Things I Would Like To Do Well

Include here aspects of interpersonal competence to which you aspire, skills that you would like to learn, kinds of experiences you would like to provide for yourself.

VII. Peak Organizational Experiences I Would Yet Like To Have

Dream a little, perhaps of experiences, honors, credits, positions, contributions and so forth to which you aspire and hope someday to become reality.

EXERCISE NUMBER FIVE

TITLE: Prediction

SOURCE: A modification by William H. Bergquist of a VOCOM (Vocal Communication) procedure and exercise developed by Fred Fosmire and Lee Brissey, University of Oregon, Eugene, Oregon

GENERAL DESCRIPTION: "Prediction," like "Discovery" in the first volume of this handbook, requires a small group to make a series of decisions concerning an unknown, non-random arrangement of filled squares on a blank grid. Unlike the discovery task, the small group performing the prediction task must make decisions regarding the status of specific squares: in Discovery, the group is able to choose which squares it wished to work with at any one time.

The performance of decision-making groups on the prediction task tends to parallel the operation of a production team or a standing committee, for these groups must make frequent and unavoidable decisions. "Discovery" produces small group decision-making which more closely resembles that of a research and development team or an *ad hoc* committee, for these groups can usually choose the area in which they will work and the type of decisions that they will make. Both the discovery and prediction tasks can produce valuable learnings for academic leaders who are involved in a variety of decision-making settings.

INSTRUCTIONS FOR USE: Task groups of three to six members are formed, and a "judge" is assigned to each group. At least one observer is assigned to each group as well. The observers should be given an observation form, such as Instrument Number Thirteen in this volume or the "Decision-Making Observation Form" that is included in Exercise Number Five in the first volume of this handbook. Alternatively, the observers should be provided with one or more brief descriptions of group process, such as are contained in Chapters Eight, Nine and Ten of the first volume or in the introductory section to this chapter. An observation form or theoretical structure enables the observer to focus on specific dynamics during the task.

All participants, including the judges and observers, should receive copies of "Prediction." A blank 10 x 10 grid and a pencil or pen are placed before each group. Only the judge receives a copy of the "Key," which should be placed in a manila folder or kept out of sight by the judge. After the task is completed, the participants receive feedback on the decision-making and leadership processes that were exhibited during the exercise.

The dynamics of this exercise can be modified, and intensified, in several different ways. First, the groups can be set in competition against one another. Second, a specific time limit can be imposed. Third, a new key can be drawn up which is more intricate than the one included with this exercise.

The feedback processes can also be modified. The task group can be interrupted one or more times after beginning the exercise and given feedback on the decision-making and leadership styles of specific group members. The initial three to five minutes of a task group's existence will usually be critical to its performance; feedback and discussion after this period of time can therefore be quite valuable. After five to ten minutes of discussion, the task can be resumed. Most task groups will find that the interruption of "Prediction" is less disturbing than the interruption of either "Discovery" or "Astronaut" from the first volume or "The Treasure of the Sierra Madre" (Exercise Number Six) from this volume.

If there are a sufficient number of observers, each task group member can be paired with one observer. The group is periodically interrupted so that the observer and participant can meet to exchange perceptions of the participant's role in the group.

Regardless of how the exercise is conducted it is essential that sufficient time and attention be given to a discussion of the performance of each task group member. The potential insights to be gained from this task are great and should not be lost through a short and superficial discussion following the completion of the task.

PREDICTION

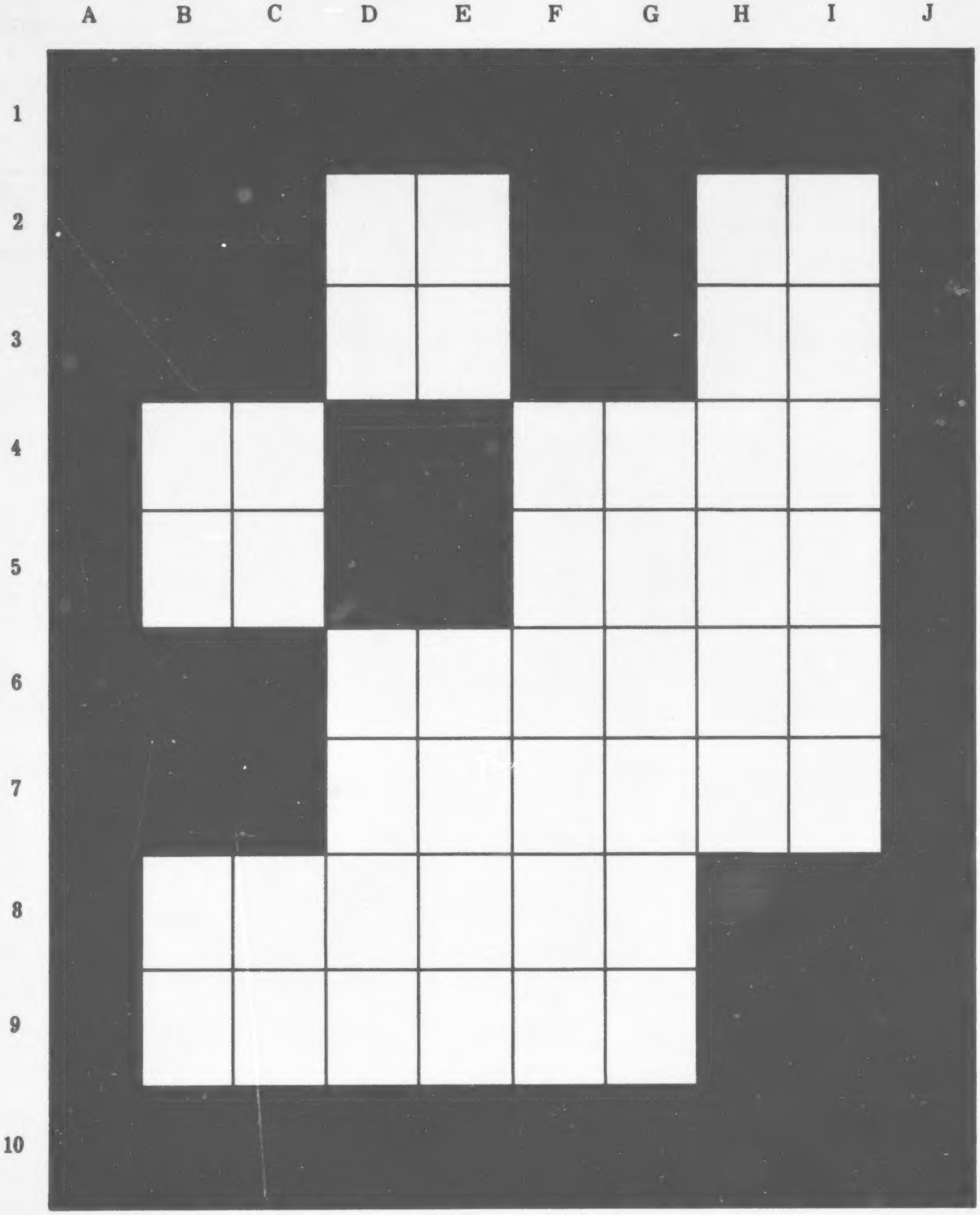
You have been presented with a sheet of paper on which is printed a 10 x 10 square grid. Each square on the grid can be identified by a letter and a number. Another person, who will be the judge for your team, has been given an identical grid. Some of the squares on the judge's grid, however, have been filled in — these are called closed squares. Other squares on the judge's grid have been left clear — these are called open squares. There is an arrangement of closed and open squares on the judge's grid that is not random.

Your task is to predict which squares on the judge's grid are closed and which are open. You are to make as few mistakes as possible in the process of making these predictions. Your team is to begin by making a prediction as to whether or not square A-1 is open or closed. One member of your team should be designated as the person who indicates to the judge whether your team has predicted closed or open. The judge will immediately inform you as to whether or not your prediction is correct. You may record anything you wish on the grid. We suggest that you record your prediction as well as the judge's response.

After making your prediction for square A-1 and determining the accuracy of this prediction, proceed to square A-2, then to A-3, A-4 and so forth. After square A-10, make a prediction concerning B-1, then B-2, B-3 and so forth. Your team should proceed in this manner until a prediction has been made about all one hundred squares — the final prediction being for square J-10.

Your performance will be judged on the basis of the total number of correct predictions your team has made. You may take as much time as you wish on this task. Do you have any questions?

PREDICTION KEY



	A	B	C	D	E	F	G	H	I	J
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5	■	□	□	■	■	□	□	□	□	■
6	■	■	■	□	□	□	□	□	□	■
7	■	■	■	□	□	□	□	□	□	■
8	■	□	□	□	□	□	□	■	■	■
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PREDICTION

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EXERCISE NUMBER SIX

TITLE: The Treasure of the Sierra Madre

SOURCE: William H. Bergquist

GENERAL DESCRIPTION: "The Treasure of the Sierra Madre" is a decision-making task that allows workshop participants either to be a part of a decision-making group or to observe a decision-making group in action; in one case individuals get an opportunity to receive feedback on their behavior, in the other to practice giving feedback. Like "Astronaut" published in the first volume of the handbook, this exercise requires participants to memorize a certain amount of information, then to make a number of group decisions based on that information. Unlike the earlier exercise, however, the information memorized in "The Treasure of the Sierra Madre" contains both considerable redundancy and a certain amount of error. In the numerous times we have used this exercise we have found that the redundancy allows participants to supplement each other's information (instead of essentially depending on the memory of single individuals, as is the case with "Astronaut"), while the existence of a certain amount of incorrect information duplicates more accurately than "Astronaut" the real world in which individuals frequently arrive at a decision-making task with information of varying quality.

INSTRUCTIONS FOR USE: "The Treasure of the Sierra Madre" is distributed, read and discussed. Once the instructions and the score sheet are understood, each of the five participants in the exercise receives one of the five maps of the Sierra Madre. Participants have three minutes to memorize their maps. Observers are assigned and one is designated judge.

This exercise is designed to be conducted in conjunction with Instrument Number Thirteen, "Observation of Leadership Functions," and observers should have time to study the information contained in that instrument and clarify their observation assignments.

Once all parties understand their roles, the participants are given one copy of the blank map, a copy of the score sheet if they wish, and the exercise should begin.

Variations:

1. Feedback from the observers may be withheld until the completion of the task or the exercise may be stopped from time to time to allow for feedback.
2. It is sometimes useful to stop the exercise after a minute or two and again after the first choice is made to discuss how these important moments are handled.
3. One or more of the five players may be asked to demonstrate particular leadership behaviors.
4. If two or more groups are taking part in the exercise, competition between them can be set up by periodically stopping the game to announce the progress of each group.

THE TREASURE OF THE SIERRA MADRE

Please engage in a brief fantasy that may bear an uncomfortable resemblance to many of the remarkably poor Class B movies you saw as a child. Imagine that you are a member of a five person expedition that has journeyed into a remote, mountainous region of Mexico, having been lured by the rumor of extensive gold deposits. You have been told that in the small Mexican village of Sierra Madre there are five eccentric old prospectors who have information about the location of the gold deposits. Because of a firm, and justifiable, distrust of each old-timer for the other four, the five prospectors have never shared their information with each other. Each prospector had hoped to find the gold himself, thereby avoiding the prospect of sharing with anyone else. However, none of the five prospectors has the energy to wander around the mountains with incomplete information looking for the gold deposits — especially given the fact that the other four would probably follow him.

Each of the old-timers retains a map of the Sierra Madre region. On each map several possible gold deposit locations are identified. Some of the maps contain information that is relatively accurate; others contain information that is inaccurate. Some of the maps contain a great deal of information; other maps contain very little.

Each of the five members of your team has negotiated with one of the prospectors to look at his map for three minutes. The old-timers will not allow you to write anything down about the maps, for they fear that this information will get into the hands of the other four prospectors. You have furthermore agreed to pay $1,000 for each of the five maps — sight unseen — and have agreed to pay an additional $100 to each old-timer every time that you use the maps to locate a potential gold deposit. In order to ensure that you never write down the contents of the maps, and that you turn over the $100 per prospector for each location that you identify, a judge, who through remarkable interpersonal skills has managed to befriend all five prospectors, will travel with you. Beware of the incredible power and ruthlessness of this individual. He cannot be bought and will enforce these agreements without question.

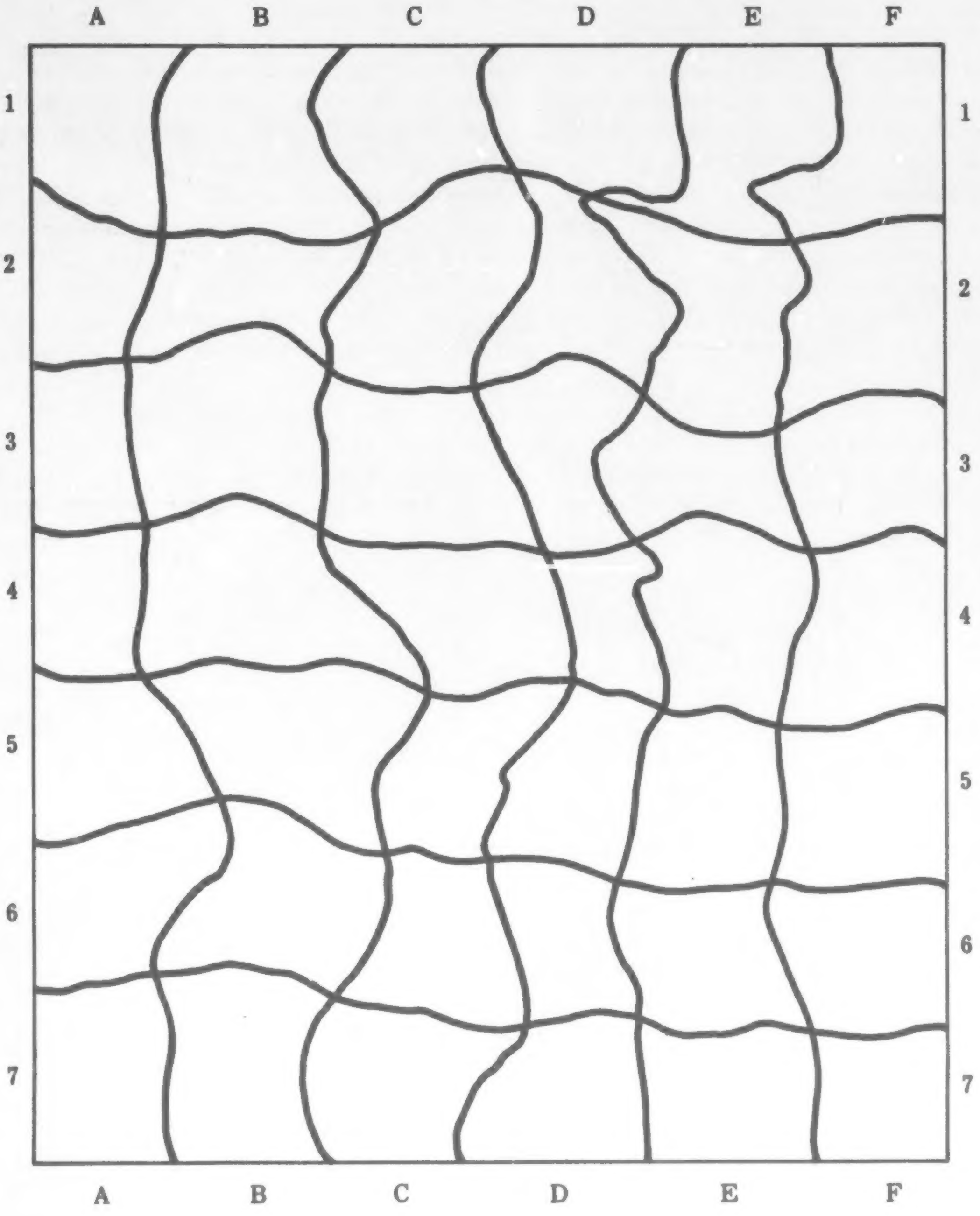
Each member of your group will receive a map of the Sierra Madre. Each map will indicate the possible locations of one or more gold deposits. Some of the maps will be more accurate than others; some of the maps will contain more information than others. You will each be able to look at your map for three minutes; then you must return it to the judge and never reconstruct it or write down anything about it while you are working on the task. The judge will eliminate any member of your team who disobeys this directive.

After the three minute period, your group will convene to select the location of possible gold deposits. Each map covers the same region, hence information from the five maps can be compared and pooled. Having decided on a specific location in which to seek a gold deposit, your group (or one member of your group) will then indicate to the judge that you wish to explore that location. The judge will then indicate whether or not there is in fact a deposit at this location, and the worth of the deposit ($1,000, $2,000 and so forth). Remember that each time your group selects a location it must pay the prospectors a total of $500 ($100 per old-timer). In addition, you must recover the initial $5,000 ($1,000 per map) you have paid out. Your group's judge will manage your financial affairs and record your successes and failures; your group, of course, is free to keep its own record if it wishes.

As a group you may stop at any time.

Do you have any questions?

A map of the Sierra Madre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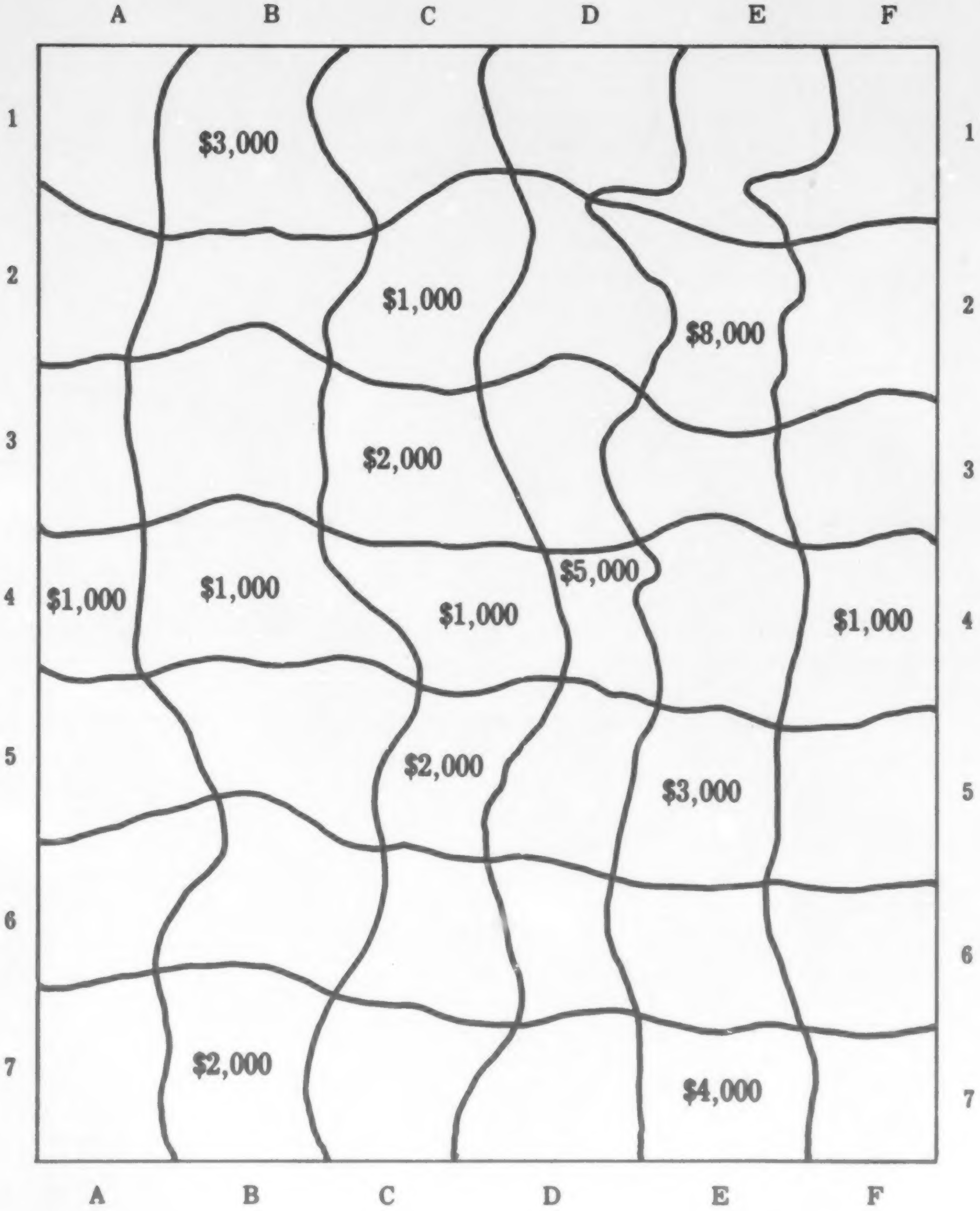
TREASURE OF THE SIERRA MADRE
KEY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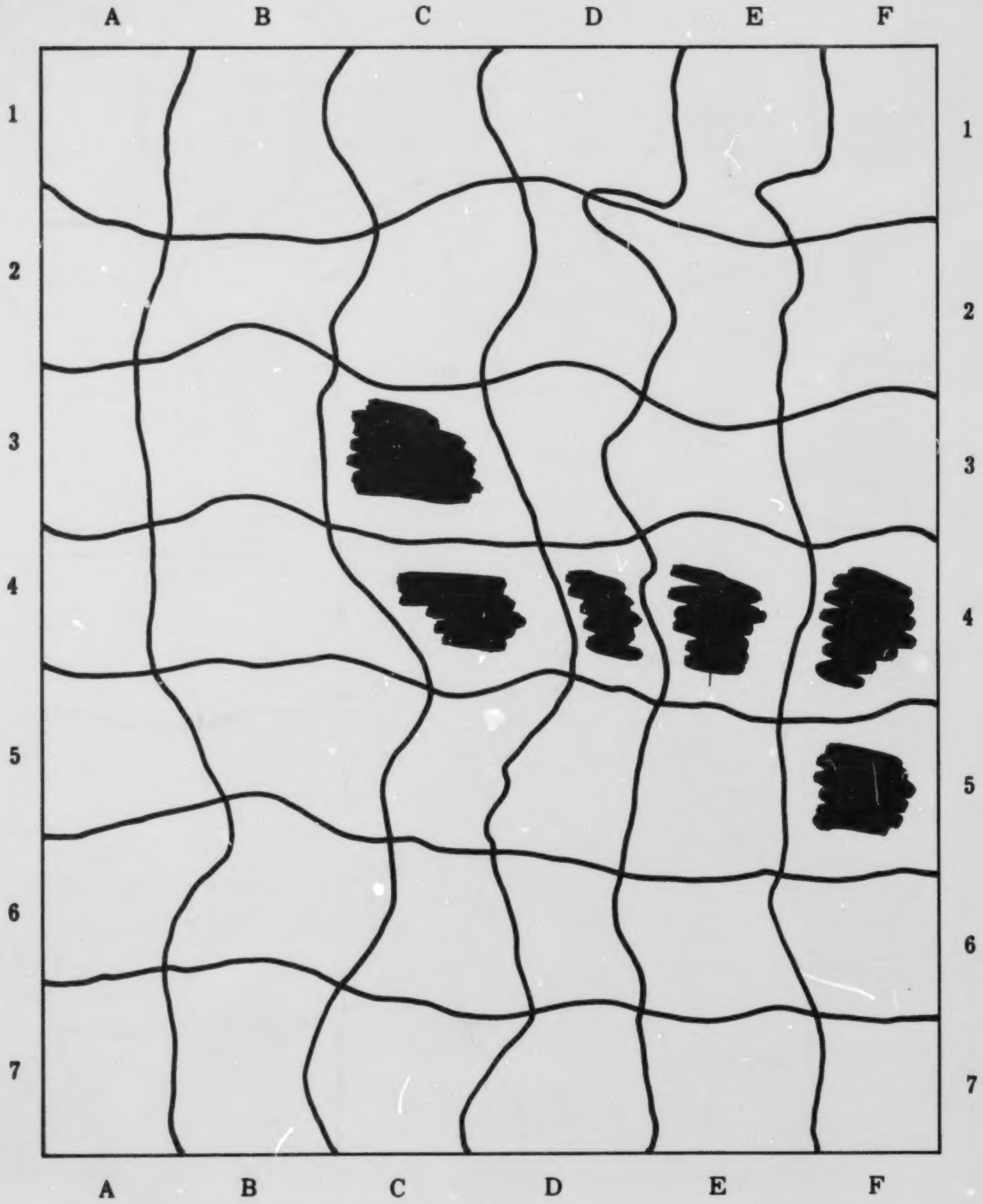
TREASURE OF THE SIERRA MADRE
MAP NUMBER ONE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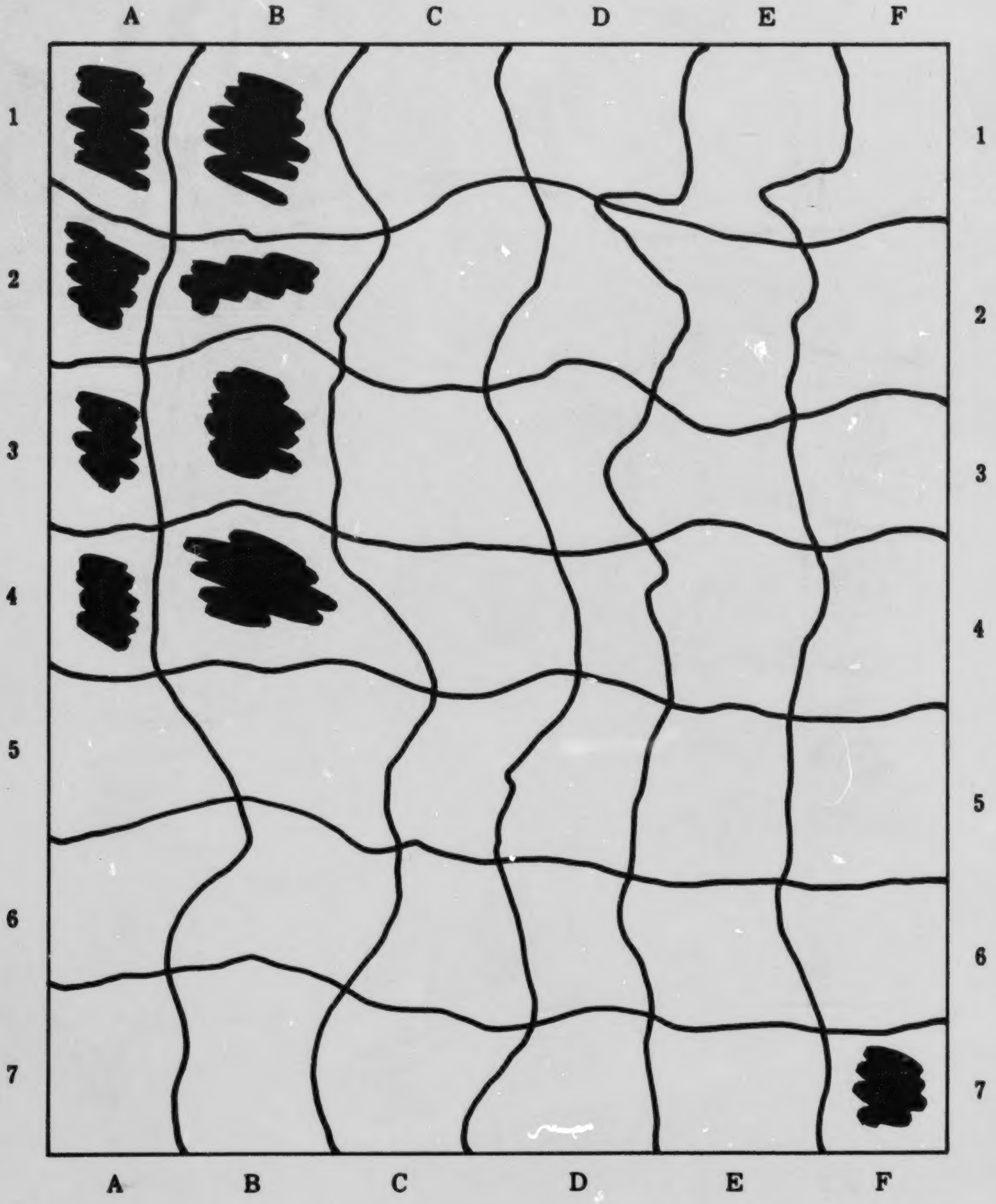
TREASURE OF THE SIERRA MADRE
MAP NUMBER TWO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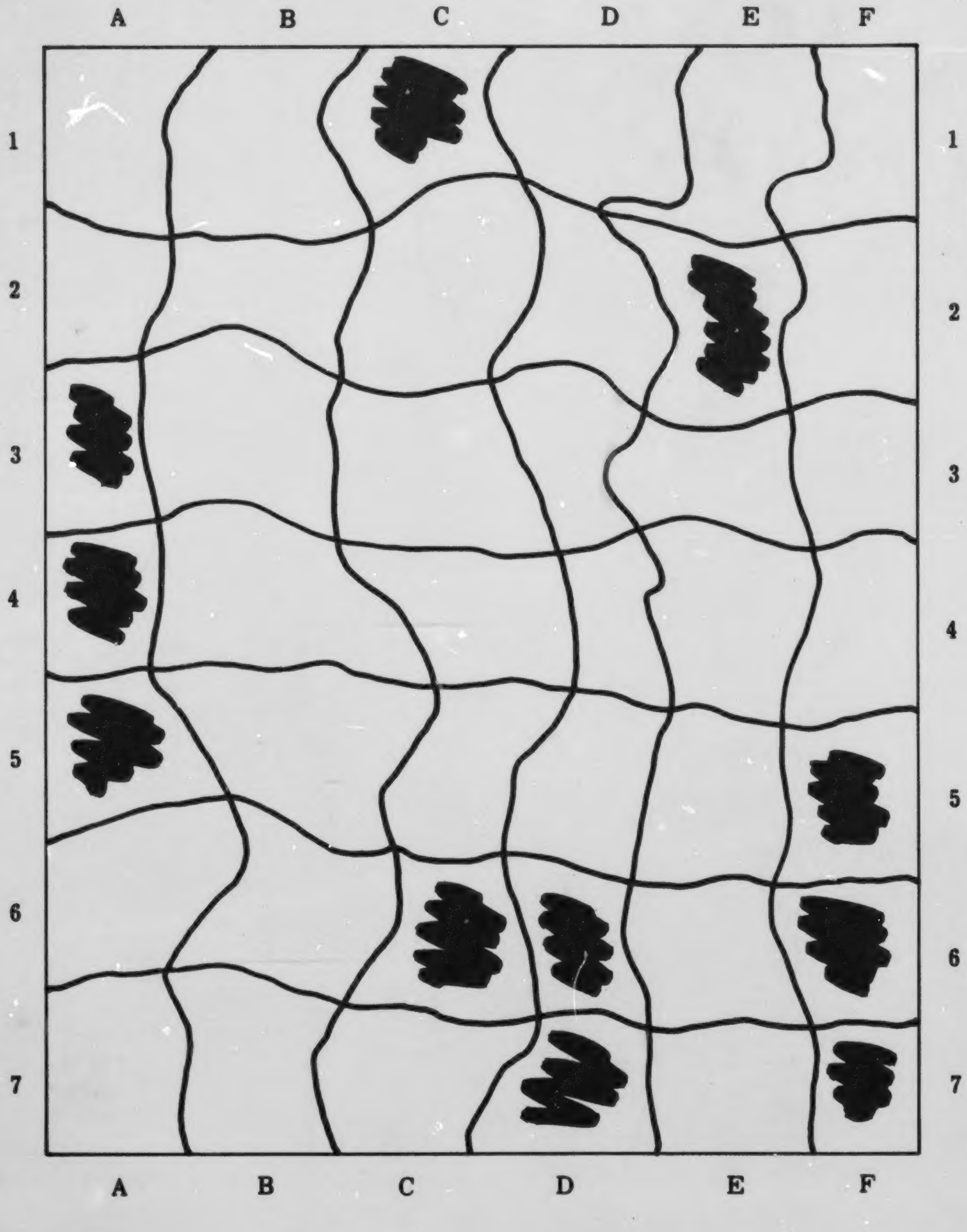
TREASURE OF THE SIERRA MADRE
MAP NUMBER THREE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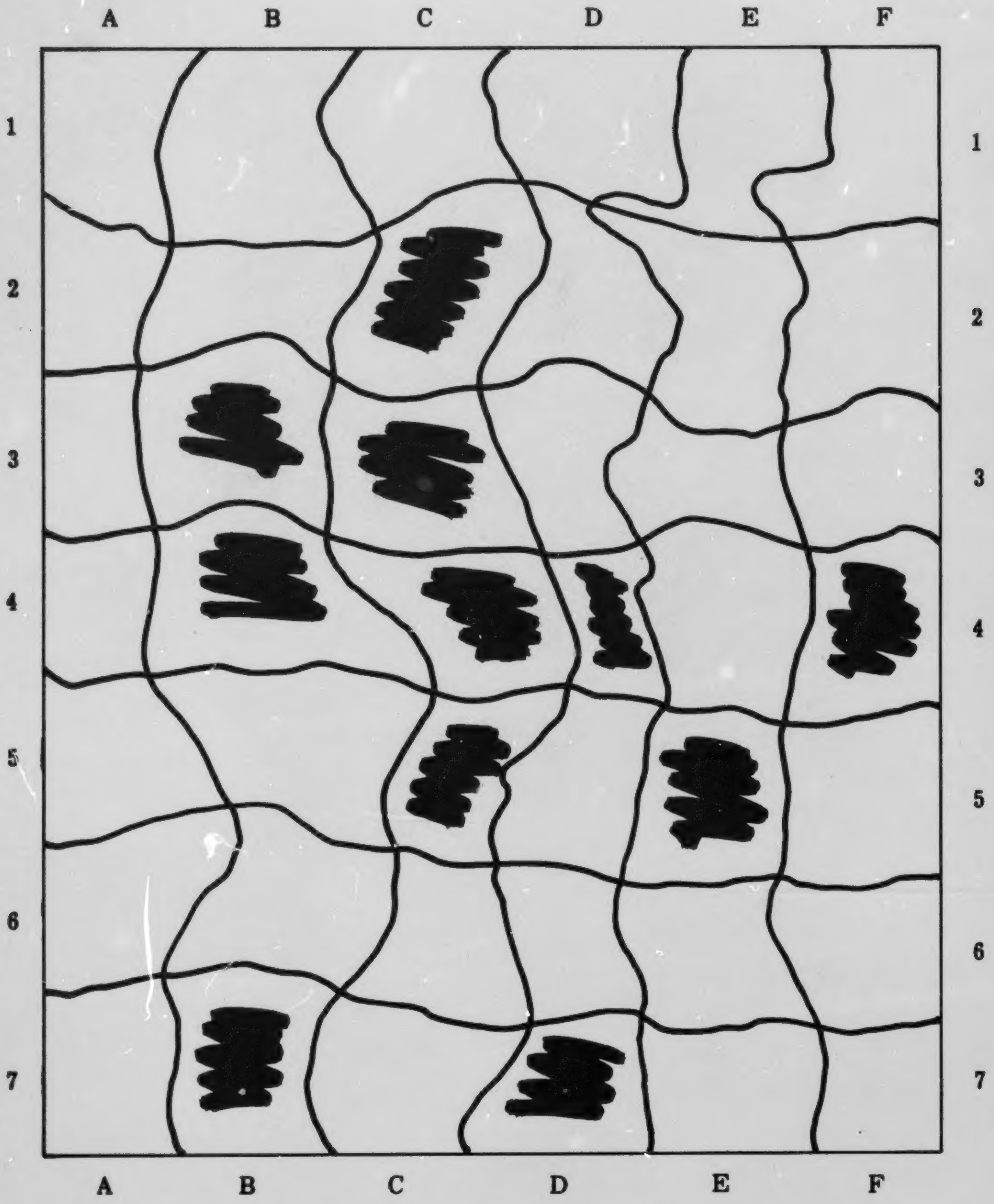
TREASURE OF THE SIERRA MADRE
MAP NUMBER FOUR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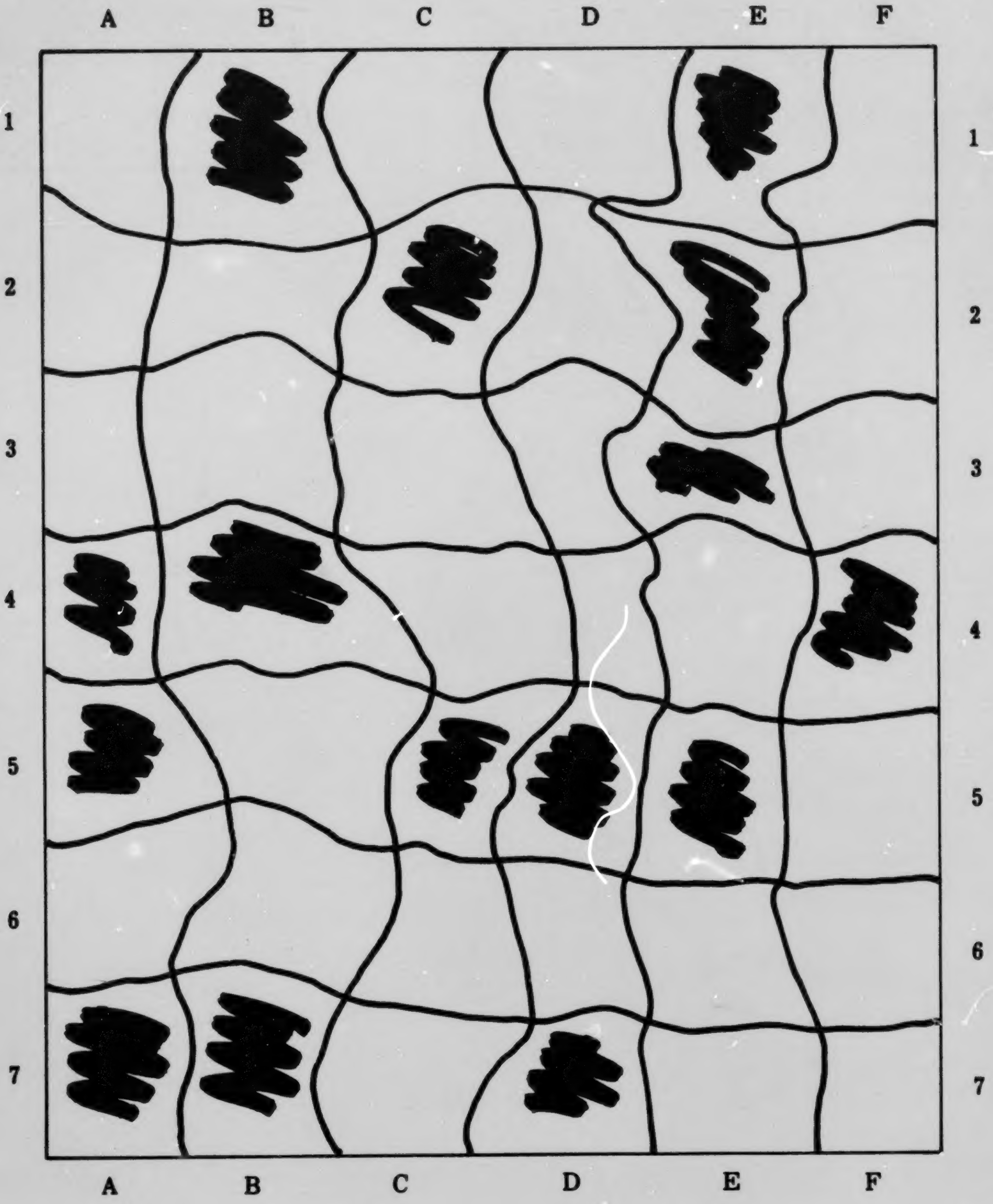
TREASURE OF THE SIERRA MADRE
MAP NUMBER FIVE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Score Sheet
Treasure of the Sierra Madre

Location	Gold Deposit	Map Cost	Net Profit/Loss	Balance
		— $500		
		— $500		
		— $500		
		— $500		
		— $500		
		— $500		
		— $500		
		— $500		
		— $500		
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		— $500		
		— $500		
		— $500		

EXERCISE NUMBER SEVEN

TITLE: Speeds: A Consensus Task

SOURCE: Steven R. Phillips

GENERAL DESCRIPTION: What is the muzzle velocity of the fastest bullet ever fired? The official motorcycle speed record? The fastest speed ever attained by a woman? It is doubtful that many individuals will come to this task with certain answers to these and seventeen similar questions. Consequently, "Speeds: A Consensus Task," which requires participants to rank twenty speeds from fastest to slowest, provides an excellent opportunity to observe a decision-making group in action. Like "The Treasure of the Sierra Madre," this exercise is designed to be used with Instrument Number Thirteen, "Observation of Leadership Functions," and observers should have time to consider different leadership behaviors and plan their observation strategy.

INSTRUCTIONS FOR USE: A group of four or five participants are asked to do two things: first, they must select one of four possible speeds for each of the twenty items on "Speeds: A Consensus Task"; second, they must rank order each of the items from the slowest (a ranking of 1) to the fastest (a ranking of 20). The purpose to the exercise, of course, is not to get an exactly correct answer but rather to provide an engaging task for several individuals, one which allows others to observe their leadership and decision-making patterns.

Variations:

1. Although this task is interesting in itself, it can be made somewhat more intense by imposing a time limit and/or establishing competition between two or more groups. If groups are in competition the winner can be determined either by the number of correct selections from each of the multiple choice items or by the accuracy of the rankings. If the later method is used the ranking of each item should be subtracted from its correct ranking; the group with the lowest score has done the most successful work.
2. This task can be used like a number of classic decision making exercises — "Lost on the Moon," "Twelve Angry Men" — to demonstrate the superiority of consensus decision-making . First, participants are asked to complete the task alone, then by consensus in small groups. In most cases the solutions of the groups will be superior to those of any individuals in the group.

SPEEDS: A CONSENSUS TASK

Twenty items are listed below. For each four possible answers are given; only one is correct for each item. You are first to select the correct answer for each item, then to rank each item from the slowest (a ranking of one) to the fastest (a ranking of twenty). All speeds are in miles per hour. rounded to the nearest whole number. All information is based on the 1975 *Guinness Book of World Records*.

A. Speed of the fastest animal
    1. 54
    2. 140
    3. 106
    4. 28

B. Speed of a golf ball driven off a tee
    1. 160
    2. 140
    3. 170
    4. 225

C. Water skiing speed record
    1. 225
    2. 68
    3. 126
    4. 154

D. Swimming speed of the fastest fish
    1. 68
    2. 28
    3. 54
    4. 60

E. Fastest timed human running speed
    1. 28
    2. 42
    3. 54
    4. 60

F. Highest speed ever attained by a woman
    1. 4,840
    2. 2,070
    3. 17,470
    4. 650

G. Highest speed obtained on land by a man
    1. 614
    2. 2,070
    3. 650
    4. 225

H. Maximum speed ever attained in a sky-diving free fall
    1. 170
    2. 285
    3. 614
    4. 225

I. Official water speed record
    1. 650
    2. 614
    3. 225
    4. 285

J. Highest speed ever achieved on a bicycle
    1. 140
    2. 154
    3. 68
    4. 225

K. Highest muzzle velocity of a bullet
    1. 2,070
    2. 17,470
    3. 24,791
    4. 4,840

L. Official motorcycle world speed record
    1. 225
    2. 614
    3. 170
    4. 285

M. Jean-Claude Killy skiing in the 1968 Olympics.
    1. 54
    2. 60
    3. 126
    4. 68

N. Fastest measured tennis serve
    1. 126
    2. 225
    3. 160
    4. 154

O. Fastest greyhound
    1. 28
    2. 60
    3. 54
    4. 42

P. Fastest land animal over a short distance
    1. 140
    2. 60
    3. 54
    4. 68

Q. Fastest speed ever travelled by a human being
    1. 17,470
    2. 24,791
    3. 4,840
    4. 2,070

R. Highest average land speed record on a closed circuit
    1. 217
    2. 285
    3. 225
    4. 614

S. Official air speed record
    1. 2,070
    2. 650
    3. 4,840
    4. 17,470

T. Speed of the ball in a jai-alai game
    1. 285
    2. 160
    3. 225
    4. 170

SPEEDS: A CONSENSUS TASK
ANSWERS

The correct ranking, from one (slowest) to twenty (fastest) is presented below. Following each item is the speed in miles per hour (rounded to the nearest full mile). All information is based on the 1975 *Guinness Book of World Records:* the page number on which that information is found follows the speed.

Ranking	Item	Speed	Page number in *Guinness*
1	Fastest timed human running speed	28	page 645
2	Fastest greyhound	42	page 76
3	Jean-Claude Killy skiing in the 1968 olympics	54	page 618
4	Fastest land animal over a short distance	60	page 59
5	Swimming speed of the fastest fish	68	page 92
6	Speed of the fastest animal	106	page 56
7	Water skiing speed record	126	page 664
8	Highest speed ever achieved on a bicycle	140	page 530
9	Fastest measured tennis serve	154	page 644
10	Speed of the ball in a jai-alai game	160	page 597
11	Speed of a golf ball driven off a tee	170	page 501
12	Highest average lap speed record on a closed circuit	217	page 505
13	Official motorcycle world speed record	225	page 601
14	Official water speed record	285	page 439
15	Maximum speed ever attained in a sky-diving free fall	614	page 501
16	Highest speed obtained on land by a man	650	page 438
17	Official air speed record	2,070	page 319
18	Highest muzzle velocity of a bullet	4,840	page 616
19	Highest speed ever attained by a woman	17,470	page 438
20	Fastest speed ever travelled by a human being	24,791	page 438

REFERENCES AND FURTHER READINGS:

In addition to the "Styles of Leadership Survey" mentioned in note 2, we recommend the related Telemetrics instruments "Styles of Management Inventory," "Group Encounter Survey" and "Conflict Management Survey," all of which are based on Blake and Mouton's management grid. The closely associated issue of decision-making is discussed by Jay Hall and others in "The Decision-Making Grid: A Model of Decision-Making Styles," *California Management Review,* 7 (1964), 43-51. Other important discussions relating to leadership include Douglas McGregor, *The Human Side of Enterprise* (New York: McGraw-Hill, 1961), Fred Fielder, *A Theory of Leadership Effectiveness* (New York: McGraw-Hill, 1967), Rensis Likert, *The Human Organization* (New York: McGraw-Hill, 1967), Chris Argyris, *Interpersonal Competence and Organizational Effectiveness* (Homewood, Ill.: Dorsey Press, 1962), and Daniel Katz and Robert Kahn, *The Social Psychology of Organizations* (New York, Wiley and Sons, 1966).

In the area of academic administrative leadership, several books and articles can be specially recommended: John Corson, *Governance of Colleges and Universities* (New York: McGraw-Hill, 1962); Gerald Burns, ed., *Administrators in Higher Education* (New York: Harper and Row, 1962); Ross Mooney, "The Problem of Leadership in the University," *Harvard Educational Review,* 33 (1963); Warren Bennis, *The Leaning Ivory Tower* (San Francisco: Jossey-Bass, 1973); and Michael Cohen and James March, *Leadership and Ambiguity: The American College President* (New York: McGraw-Hill, 1974). Several books on leadership and academic change are also suggested: Earl McGrath, "The President as an Innovator," in McGrath, ed., *Selected Issues in College Administration* (New York: Teachers College Press, 1967), pp. 1-16; JB Hefferlin, *Dynamics of Academic Reform* (San Francisco: Jossey Bass, 1971); and S.V. Martorana and Eileen Kuhns, *Managing Academic Change* (San Francisco: Jossey-Bass, 1975).

The publications and newsletters of the Institute for Educational Leadership (George Washington University, Suite 310, 1001 Connecticut Ave N.W., Washington, DC 20036) are often of value, though they address topics of much greater diversity than treated in this chapter.

Chapter Nine

Interpersonal Skills

Imagine a small group of faculty gathered together in a workshop to take part in an exercise having to do with the ways they respond to students. Each participant is given a list of statements a student might make to a faculty member seeking his help. Suppose the first statement was something like "I'm really having a hard time getting this paper started for your class. I just don't know where to begin." What kinds of responses might we expect from the various faculty members? The following are both typical and all too real:

> "I know what you mean. I had that problem a lot when I was in college. What I used to do was to . . . ."
>
> "Well, the best way to begin a paper is to write out an outline. Do you know how to do that?"
>
> "A lot of the people in the class are having the same problem. You just have to try harder."
>
> "The way to begin a paper is just to sit down and start writing. You can review it and polish it up later."
>
> "Well, you know you have missed a couple of classes recently. Maybe if you check the notes of some of the other students you'll be in better shape to start."

The failure to listen, the failure to seek out more information, the failure to respond to the emotional content of the student's statement are not shortcomings that are the exclusive property of the college faculty member; they are failures of all of us to respond effectively in emotional situations. Yet perhaps these kinds of difficulties are particularly important for faculty and faculty development. Most faculty are trained to work alone; the historically related invention of copyright and stress on originality reach their apotheosis in graduate school, where students spend most of their time working alone in preparation for the weekly combat of the graduate seminar. Just as individuals who will spend the rest of their lives teaching receive little or no training for this task, faculty, who interact daily with scores of students, have rarely received any interpersonal training.

Simply stated, faculty need to learn how to listen, how to respond appropriately to expressions of emotion in others, and how to acknowledge and describe their own feelings. The exercises in this chapter, on listening, on responding and understanding, and on describing feelings represent relatively low-threat activities that can help sensitize faculty to some of the subtleties of interpersonal relations.

HANDOUT NUMBER THREE

TITLE: Emotions as Problems

SOURCE: John L. Wallen, Neotsu, Oregon

GENERAL DESCRIPTION: As John Wallen suggests in his discussion of "Emotions as Problems" we know intellectually that feelings are an important part of life and that the whole person is one who is both a thinking *and* a feeling individual. The problem arises, however, not when we speculate about emotions but when we have to actually deal with them in ourselves and others. To interact with someone, as Wallen points out near the conclusion of his essay, is to become emotionally involved. Faculty, who interact not only with their colleagues but also with numerous students, are in a particularly involving situation. Yet far too frequently we hear faculty disclaiming any responsibility for the emotional or personal growth of their students. Is this because of an absolute commitment to the intellectual life or is it, as Wallen implies, because most of us are uncomfortable with strong emotions? Yet feelings simply cannot be kept out of the relations between faculty and students. From the sometimes intense emotions associated with a grade to the personal availability of a faculty member as an older and wiser individual in times of emotional stress, students and faculty are involved with emotions. In this handout, John Wallen effectively helps us identify some of the reasons why emotions are so frequently viewed as problems.

INSTRUCTIONS FOR USE: This handout can be distributed without comment, can be used as the basis for a discussion of the problem or, perhaps most effectively, can accompany one or more of the exercises in this chapter.

EMOTIONS AS PROBLEMS

The way we deal with emotion is the most frequent source of difficulty in our relations with others. Although each of us continually experiences feelings about others and about ourselves, most of us have not learned to accept and use our emotions constructively. Not only are we uncomfortable when others express strong feelings, but also most of us do not even recognize, much less accept, many of our own feelings.

We know, intellectually, that it is natural to have feelings. We know that the capacity to feel is as much a part of being a person as is the capacity to think and reason. We are aware of incompleteness in the one who seems only to *think about* life and does not seem to feel — to care about, enjoy, be angered and hurt by what goes on around him. We know all this, and yet we believe that feelings are disruptive, the source of obstacles and problems in living and working with others.

Our feelings are not the source of difficulty in our relations with others; the way we deal with our feelings, our failure to use them, causes the trouble.

Because of our negative attitude toward emotions, because of our fear of and discomfort with our feelings we spend much time trying, in one way or another, to deny or ignore them. Notice how you and others react to feelings. Make your own observations and see whether they support or contradict the point that our usual response is some variation of "Don't feel that way."

To the person expressing disappointment, discouragement or depression we say things like, "Cheer up!" "Don't let it get you down." "There's no use crying over spilt milk." "Things will get better." To the sorrowing or hurting person we advise, "Don't cry. Put your mind on something pleasant." We tell the angry person, "Simmer down. There's no point in getting angry. Let's be objective." To the person expressing joy and satisfaction in something she has done we caution, "Better watch out. Pride goeth before a fall." In our various group meetings we counsel each other, "Let's keep feelings out of this. Let's be rational." In short, "Don't feel that way."

You can notice a second sign of our uneasiness with feelings if you will pay attention to the many ways we express our feelings — in words — without indicating that we ourselves are experiencing them. We may say "Status differences make communication difficult" rather than "I'm afraid to speak up to my boss." Or: "It's only natural to feel sad when someone you love dies" rather than "I feel sad." Or: "One often feels insignificant and hopeless today" rather than "I often feel insignificant and hopeless." Or: "We all feel discouraged" rather than "I feel discouraged." Or: "We're all fond of you" rather than "I'm fond of you." It is almost as if we can remain unaware of what we are feeling if we do not say, "Right now I feel . . . ."

A third sign of the difficulty we experience with feelings is that we are more comfortable discussing distant and remote feelings than in telling our present feelings. As you observe yourself and others talking about feelings, see whether the following scale roughly represents what you find.

MOST DISTANT | LEAST DIFFICULT TO DISCUSS

↕

I tell you my *past* feelings about *somebody not present*, "I was angry with Jim." "I felt very warm and close to Sarah."

I tell you my *present* feelings about *somebody not present;* "I am angry with Jim." "I feel very warm and close to Sarah."

I tell you my *past* feelings about *you;* "I was angry with you last month." "I felt very close to you last month."

I tell you my *present* feelings about *you;* "I am angry with you." "I feel very close to you."

HERE-AND-NOW | MOST DIFFICULT TO DISCUSS

In general, the closer the feelings are to here-and-now — to you and me in this present moment — the more difficult they are to discuss openly. The scale above implies many more subdivisions than shown. For example, it implies that I am more comfortable telling you I was angry with you a year ago than that I was angry with you last week. The former topic is much more distant. Likewise, I can more easily tell you of last week's anger than of my annoyance with you yesterday.

This scale doesn't mean that people do not get angry in the present or even that they do not act angry, only that to describe one's present anger openly is more difficult than to discuss one's past anger.

Why are we uncomfortable in dealing with feelings, both our own and others? What is it that leads us to try to deny or ignore present feelings? Why do we look upon emotions as problems? I believe it is that we recognize that *we have less control over what we will feel than over what we will do.*

I see myself as in control of my own actions. If I wish to run, I do so. When I wish to stop running, I stop. I can even decide longer spans of action, such as deciding to take a trip to the coast for the weekend; I can then carry out my intention.

With somewhat less certainty, I see myself as usually able to control my thoughts. If I wish to plan a trip to the coast, I can think about that. If I wish to think about last week's trip, I do so. When I am unable to stop thinking of something it is usually because some strong feeling has been aroused.

My emotions, by contrast, seem to have a life of their own. I cannot start and stop them as I do my actions. My wish to feel happy does not lead me to feel happy. Deciding to feel love for a person does not make me love her. Telling myself not to be afraid does not keep me from feeling fear, although I can carry out an intention not to show my fear, not to run. Feelings are spontaneous responses. We have less control over what we feel than over what we do.

Others sometimes seem to have more control over our feelings than we ourselves have. People usually say, "You make me angry," rather than, "I've become angry." One popular song declares, "You made me love you. I didn't want to do it." Maybe our discomfort with our own feelings springs from a belief (a recognition?) that to feel something toward another is to surrender some of our control of ourselves to the other person. Certainly, if we believe that the other person "made" us angry or "made" us love him, he has some control over us.

If we hold the other responsible for our anger, we probably expect her to stop her annoying behavior *because* we are angry. Our anger, then, is experienced as a claim against the other person. Likewise, if we feel that the other person "made" us love him, we probably expect he should return our affection. When somebody tells you he likes you, note your own tendency to feel that you should reciprocate, an "I-like-you-too" effect.

One way we try to control what we feel is by arranging our surroundings (including the people) to increase the probability that the feelings we desire will occur. For example, we create settings with lowered lights, romantic music and pleasant odors in hope of arousing affectionate feelings.

Each of us tries (knowingly or unknowingly) to get others to act toward him in ways that will arouse the feelings in him he desires and not those he dislikes.

A person whose anger makes her uncomfortable will try to get others to avoid things that make her angry. She may change the subject when a controversial issue comes up. She may avoid certain other people. A person who cannot stand to feel weak and inadequate may act totally confident and certain of herself so that others will not act toward her in ways that make her feel weak. If a person is uneasy with feelings in general, she may try to keep conversations on factual or intellectual matters in an effort to keep the other person from arousing any feelings. If a person becomes uncomfortable when people get emotionally close to her, she may try to keep others at a distance so they cannot evoke her feelings of discomfort.

Each person's attempts to determine and control his emotional life can set off a struggle with others, who also try to control what they will feel. Suppose I feel uncomfortable when others stay emotionally distant from me, but emotional closeness makes you uncomfortable. The kind of behavior that makes you comfortable makes me uncomfortable. When we interact will we have a close or a distant relationship? Which of us will have most influence in defining what kind of relation we will have? In trying to resolve the interpersonal struggle to control (or define) our relation each of us is trying to determine and control his own emotional life.

Much of our discomfort with our own and others' feelings arises from the belief that feelings are coercive, that your feelings about me are a claim against me that I must honor. Thus, if you are angry with me, I may assume that I should change so that you won't feel angry. If you love me, I may feel guilty if I do not love you in return. When you feel depressed I become uncomfortable in the belief that I should do something so that you will no longer feel depressed.

Do I have control over you because I can make you angry? Do you have control over me because you get angry at what I do? Your anger may help us learn something about you and also about me, if we can reach a shared understanding of what it means.

To interact with another is to risk having feelings aroused by him and to risk arousing feelings in him. You and he cannot turn on and off your feelings about each other merely by wishing or telling yourself to. Unless you avoid each other totally and forever, you must share some of yourself with the other. To feel something toward another — whether anger, disgust, fear, interest, enjoyment — is to become related — interdependent — with the other. Most of us seem to feel that to be interdependent with another is to lose some of our control over our own lives. Feelings, thus, seem to threaten our voluntary, planful control over our own affairs.

HANDOUT NUMBER FOUR

TITLE: The Interpersonal Gap

SOURCE: John L. Wallen, Neotsu, Oregon

GENERAL DESCRIPTION: After reading "The Interpersonal Gap" one might legitimately wonder how any accurate verbal or non-verbal communication ever takes place; perhaps this heightened awareness is the greatest benefit to be gained from the handout. The multiplexity that John Wallen finds in even the simplest interchange is almost diabolical, while the models he develops for communication clarify much of that complexity. His intriguing analysis of "The Interpersonal Gap" is often attractive to faculty and has frequently served as the basis for extensive discussion.

INSTRUCTIONS FOR USE: Like "Emotions as Problems," this handout can be simply distributed, discussed or used to accompany many of the exercises in this chapter.

THE INTERPERSONAL GAP

You cannot have your own way all the time. Your best intentions will sometimes end in disaster, while, at other times, you will receive credit for desirable outcomes you didn't intend. In short, what you accomplish is not always what you hoped.

The most basic and recurring problem in social life is the relation between what you intend and the effect of your actions on others. The key terms we use in attempting to make sense of interpersonal relations are "intentions," "actions" and "effect." "Interpersonal gap" refers to the degree of congruence between one person's intentions and the effect produced in the other. If the effect is what was intended, the gap has been bridged. If the effect is the opposite of what was intended, the gap has become greater.

Let us look more closely at the three terms.

By intentions I mean the wishes, wants, hopes, desires and fears that give rise to your actions. I am not referring to underlying motives of which you are unaware. It is a fact that people can tell you after an action has produced some result, "That wasn't what I meant to do. That outcome wasn't what I intended." Or, "Yes, that's what I hoped would happen." We look at the social outcome and decide whether it is what we intended. Apparently, we can compare what we wished prior to acting with the outcome after we have acted and determine whether they match.

Here are some examples of interpersonal intentions:

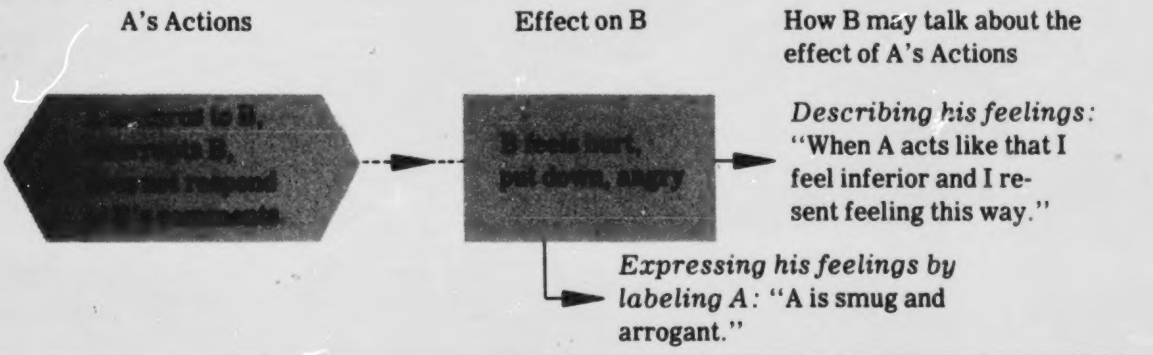
> "I want him to like me."
> "I want him to obey me."
> "I want him to realize that I know a great deal about this subject."
> "I don't want her to know that I am angry with her."
> "I don't want to talk with him."
> "I wish she would tell me what to do."

Intentions may also be mixed:

> "I want him to know I like him, but I don't want to be embarrassed."
> "I want her to tell me I'm doing a good job, but I don't want to ask for it."
> "I would like her to know how angry it makes me when she does that, but I don't want to lose her friendship."

Intentions are private and are known directly only to the one who experiences them. I know my own intentions, but I must infer yours. You know your own intentions, but you must infer mine.

Effect refers to a person's inner response to the actions of another. We may describe the other person's effect by openly stating what feelings are aroused by his actions. However, we are often unaware of our feelings as feelings. When this happens our feelings influence how we see the other and we label him or his actions in a way that expresses our feelings even though we are unaware of them.


A's Actions
Effect on B
How B may talk about the effect of A's Actions
[illegible] to B,
[illegible] B,
[illegible] respond
[illegible] comments
B feels hurt, put down, angry
Describing his feelings: "When A acts like that I feel inferior and I resent feeling this way."
Expressing his feelings by labeling A: "A is smug and arrogant."

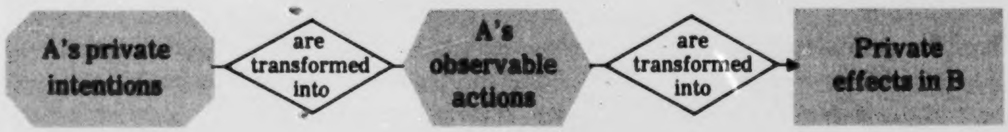
Here are some other examples showing how the same effect (E) may be talked about as a description of one's own feeling or by labeling the other as an indirect way of expressing one's feeling.

E	*Describing feelings:*	"What she did makes me feel angry with her."
	Expressing feelings by labeling the other:	"She's self-centered. She wanted to hurt me."
E	*Describing feelings:*	"What he just did makes me feel closer and more friendly towards him."
	Expressing feelings by labeling the other:	"He's certainly a warm, understanding person."
E	*Describing feelings:*	"When she acts like that I feel embarrassed and ill-at-ease."
	Expressing feelings by labeling the other:	"She's crude and disgusting."

In contrast to interpersonal intentions and effects which are private, actions are public and observable. They may be verbal ("good morning!") or non-verbal (looking away when passing another), brief (a touch on the shoulder) or extended (taking a person out to dinner).

Interpersonal actions are communicative. They include attempts by the sender to convey a message, *whether or not it is received,* as well as actions that the receiver responds to as messages, *whether or not the sender intended them that way.*

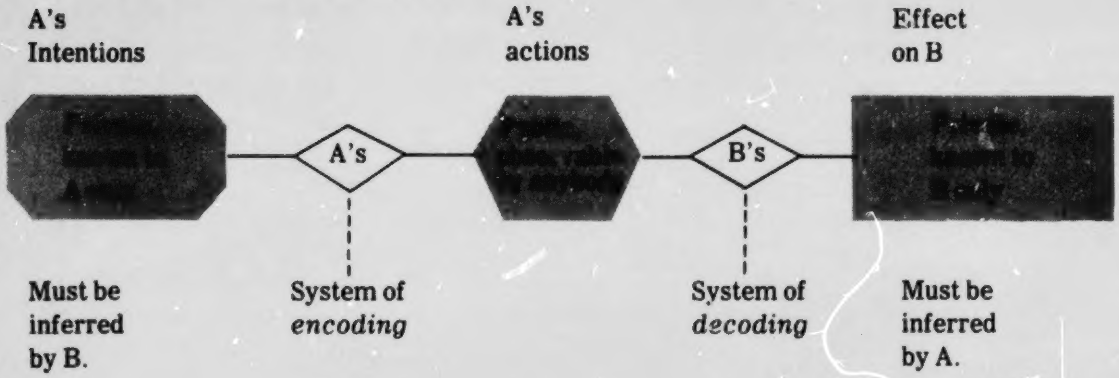
Here is a schematic summary of the interpersonal gap.



The interpersonal gap, thus, contains two transformations. I shall refer to these steps as coding and decoding operations. A's actions are a coded expression of his inner state. B's inner response is a result of the way he decodes A's actions. If B decodes A's behavior in the same way that A has coded it, A will have produced the effect he intended.

To be specific, let's imagine that I feel warm and friendly toward you. I pat you on the shoulder. The pat, thus, is an action code for my friendly feeling. You decode this, however, as an act of condescension. The effect of my behavior, then, is that you feel put down, inferior and annoyed with me. My system of coding does not match your system of decoding and the interpersonal gap, consequently, is difficult to bridge.

We can now draw a more complete picture of the interpersonal gap as follows:

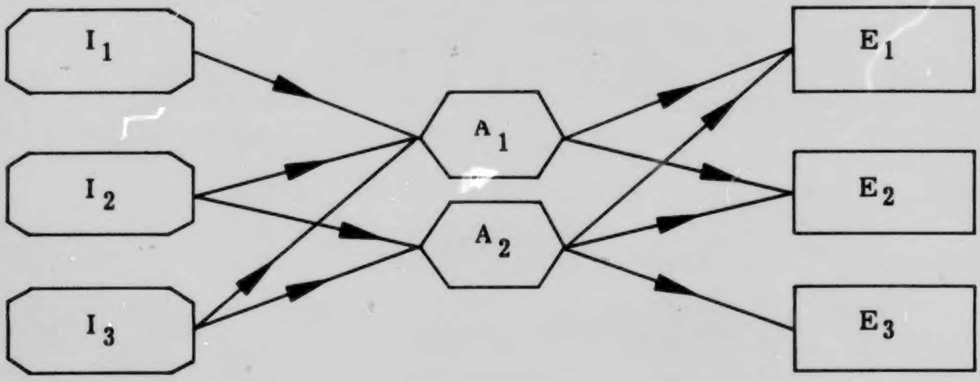

A's
Intentions
A's
actions
Effect
on B
A's
B's
Must be
inferred
by B.
System of
encoding
System of
decoding
Must be
inferred
by A.

You may be unaware of the ways you code your intentions and decode others' actions. In fact, you may have been unaware that you do. One of the important objectives of this study of interpersonal relations is to help you become aware of the silent assumptions that influence how you code and decode.

If you are aware of your encoding operation, you can accurately describe how you typically act when you feel angry, affectionate, threatened, uneasy and so forth.

If you are aware of your method of decoding behavior of others, you can accurately describe the kinds of distortions or misreadings of others you typically make. Some people, for example, respond to gestures of affection as if they were attempts to limit their autonomy. Some respond to offers of help as if they were being put down. Some misread enthusiasm as anger.

Because different people use different codes, actions have no unique and constant meaning but are substitutable. As the diagram below shows, an action (A) may express different intentions (I), the same intention may give rise to different actions, different actions may produce the same effect (E) and different effects may be produced by the same kind of action.


I1
I2
I3
A1
A2
E1
E2
E3

The same intention may be expressed by different actions.

Intention — *Actions*

To show affection

- take them out to dinner.
- buy them a gift.
- show interest in what they say.
- don't interrupt them when they are busy and preoccupied.

Different intentions may be expressed by the same action.

Intentions — *Action*

- To put them in your social debt
- To sweeten up a business deal
- To repay a social obligation
- To get closer to the other person
- To impress the other person

take them out to dinner.

The same action may lead to different effects.

Action — *Effects*

A takes B out to dinner

- B feels uneasy, thinks, "I wonder what A really wants of me?"
- B enjoys it, thinks, "A really likes me."
- B feels scornful, thinks, "A is trying to impress me."
- B feels uncomfortable, ashamed; thinks, "I never did anything like this for A."

Different actions may lead to the same effect.

Actions — *Effect*

- A tells B he showed B's report to top administration
- A tells B he has been doing an excellent job
- A asks B for advice
- A gives B a raise

B feels proud, happy — thinks, "A recognizes my competence and ability."

It should be obvious that when you and I interact each of us views his own and the other's actions in a different frame of reference. Each of us sees his own actions in the light of his own intentions, but we see the other's actions in the light of the effect they have on us. This is the *principle of partial information* — each party to an interaction has different and partial information about the interpersonal gap.

Bridging the interpersonal gap requires that each person understand how the other sees the interaction.

Jane hadn't seen Tom Laird since they taught together at Brookwood School. When she found that she would be attending a conference in Tom's city she wrote to ask if she could visit them. Tom and his wife, Marge, whom Jane had never met, invited her to stay with them for the three days of the conference.

After dinner the first night Jane was the one who suggested that they clean up the dishes so they could settle down for an evening of talk. She was feeling warm and friendly to both of the Lairds and so grateful for their hospitality that she wanted to show them in some way. As she began carrying the dishes to the kitchen, Marge and Tom at first protested but when she continued cleaning up they began to help. In the kitchen, Jane took over only allowing Marge and Tom to help in little ways and to tell her where to find or store things.

When they had finished in the kitchen, Jane commented, "There now, that didn't take long and everything's spic and span." Marge responded, "It was very helpful of you. Thank you."

When Tom and Marge were preparing for bed later that evening, Tom was startled to hear Marge burst out with, "I was so humiliated. I just resent her so much I can hardly stand it."

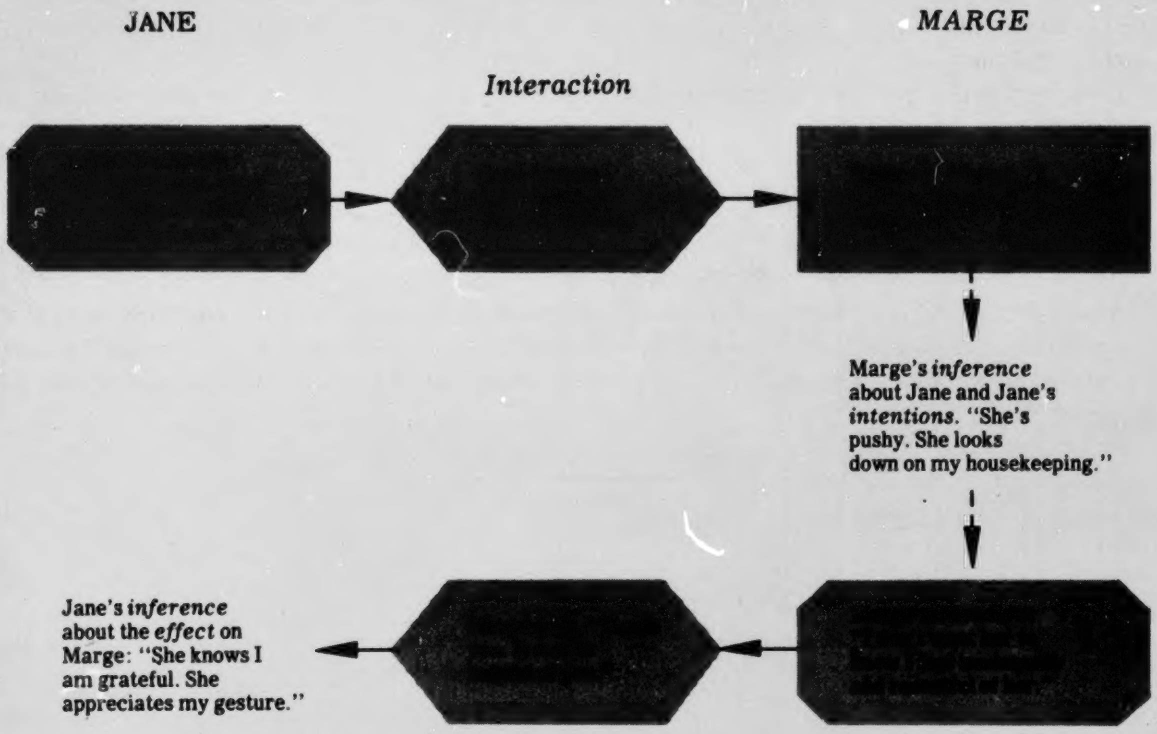
"You mean Jane? What did she do that upset you so?"

"The way she took over. She's certainly a pushy, dominating person. To come into my home as a visitor and then the moment dinner is over organize the whole clean-up. It's easy to tell that she thinks I'm not a very good housekeeper. At first I felt inadequate and then I felt angry. I'll keep house anyway I like. Who is she to show me up? After all she's a guest and you'd think she'd be grateful for our putting her up."

"Aw, c'mon, Marge, Jane was just trying to be helpful."

"Well, it wasn't helpful. It was humiliating. It's going to be hard for me to be nice to her for three days."

Let's diagram the interpersonal gap for the interaction between Jane and Marge.



Marge's *inference* about Jane and Jane's *intentions*. "She's pushy. She looks down on my housekeeping."

Jane's *inference* about the *effect* on Marge: "She knows I am grateful. She appreciates my gesture."

Note the gap between Jane's intention and Marge's inference about Jane's intention. They do not match. In fact, they are almost opposites.

Note the gap between the effect of Jane's action on Marge and Jane's inference about the effect on Marge. Again they are almost opposite.

However, within each person the situation is balanced. Jane's intention is congruent with the effect she believes occurred in Marge. Likewise, the inferences Marge makes about Jane fit with her feelings as a result of Jane's action.

The action code that Jane used to convey her friendly feelings was decoded quite differently by Marge.

Why did Marge tell Jane she had been helpful if she really resented it?

EXERCISE NUMBER EIGHT

Title: Active Listening

Source: Steven R. Phillips

General description: The ability to listen actively and constructively to someone else is certainly one of the most important of interpersonal kills. Too often we only half listen to others; too often we only use the time someone else is talking to mentally prepare our next response. Yet the ability to listen is crucially important to the effective instructor. Careful attention to an in-class response, the willingness to listen to an advisee, the ability to support a student with a personal or emotional problem all seem central to a faculty member's role. This exercise is intended to help faculty become more active, effective listeners.

Instructions for use: A brief lecture and/or the following handout on active listening is presented to a group of faculty. After a short discussion to clarify their response to the material, participants are broken down into small groups of four or five. One member is selected as the speaker, one as the observer; the other members are the listeners. The speaker is asked to talk for ten or fifteen minutes on a subject related to his teaching. Topics like

My greatest strength as a teacher is. . . .
My greatest weakness as a teacher is. . . .
The thing I am most concerned about as
a teacher is. . . .
My greatest success as a teacher was. . . .
My greatest failure as a teacher was. . .

generally prove useful here. While the speaker is talking the listeners are to practice the active listening skills described in "Characteristics of Effective Listening." At the conclusion of the allotted time the listeners receive feedback on their listening behavior from the observer and the speaker. If time allows, roles are switched until all members have played each of the three parts.

Variations:

1. If practice in a one to one listening situation is desired, this exercise can be conducted as a "Helping Trio" (see volume one of this handbook, pp. 229-232).
2. A group of five could pick two observers, with each focusing on and giving feedback to one of the two listeners separately.
3. The observer may be encouraged to interrupt the speaker from time to time to comment on particular listening behaviors.

CHARACTERISTICS OF EFFECTIVE LISTENING

Ineffective	Effective
Non-Verbal Behavior	
Listener looks bored, uninterested or judgmental; avoids eye contact; displays distracting mannerisms (doodles, plays with a paper clip and so forth)	Listener maintains positive posture; avoids distracting mannerisms; keeps attention focused on speaker; maintains eye contact; nods and smiles when appropriate
Focus of Attention	
Listener shifts focus of attention to himself: "When something like that happened to me, I. . . ."	Listener keeps focus of her comments on the speaker; "When that happened, what did you do?"
Acceptance	
Listener fails to accept speaker's ideas and feelings; "I think it would have been better to. . . ."	Listener accepts ideas and feelings; "That's an interesting idea; can you say more about it?"
Empathy	
Listener fails to empathize; "I don't see why you felt that. . . ."	Listener empathizes; "So when that happened, you felt angry."
Probing	
Listener fails to probe into an area, to follow up on an idea or feeling	Listener probes in a helpful way (but does not cross examine); "Could you tell me more about that? Why did you feel that way?"; listener follows-up; "A few minutes ago you said that. . . ."
Paraphrasing	
Listener fails to check the accuracy of communication by restating in his own words important statemens made by the speaker	Listener paraphrases at the appropriate time
Summarizing	
Listener fails to summarize	Listener summarizes the progress of the conversation from time to time
Advise	
Listener narrows the range of alternatives by suggesting a "correct" course of action	Listener broadens the range of ideas by suggesting (or asking the speaker for) a number of alternatives

EXERCISE NUMBER NINE

TITLE: Understanding the Other Person

SOURCE: Developed from a similar exercise by John L. Wallen, Neotsu, Oregon, and containing some material that originally appeared in the first volume of this handbook, page 216

GENERAL DESCRIPTION: This exercise provides participants with an opportunity to practice paraphrasing and perception checking — two essential interpersonal skills. Perhaps the most powerful aspect of the exercise is that the normal or typical response to many statements — advise, suggestion, denial, criticism — is either precluded or identified as inadequate.

INSTRUCTIONS FOR USE: Participants are asked to form groups of three or four; each participant is given a copy of "Understanding the Other Person." As the directions indicate, each person completes the first item and then discusses it with the other members of his group before proceeding to the next item, which is completed in the same way. Once all groups have worked through the entire exercise, a general discussion among all participants may follow.

UNDERSTANDING THE OTHER PERSON

At least two messages are being sent when someone says something. The first is concerned with content and deals with facts, ideas and suggestions; the second is concerned with feeling and deals with the person and his emotions. Paraphrase is a way of responding to the factual message; perception check to the emotional message.

I. Paraphrase

To check your understanding of the ideas, information, or suggestions of others, state his idea in your own words or give an example that shows what you think he was talking about. A good paraphrase is usually more specific than the original statement was.

Example:

Sam: "Joe is unfit to be manager."

Paraphrase A: "You think he's not right for his job?"

(This is too general. If Sam agrees with it, you will still not know what he means by "unfit." You merely have the illusion of understanding.)

Paraphrase B: "You mean that Joe is dishonest?"

(This is more specific. Sam might answer, "No. Joe's honest but he doesn't plan and forgets details." Thus, this paraphrase leads to a clarification of the way Sam is using the word "unfit.")

You can sometimes get some clarification by asking "What do you mean?" or by saying "I don't understand." However, you get sharper clarity when you paraphrase, because you show *what your present understanding is* and thus enable the other person to address his clarification to the specific misunderstanding you may have revealed.

II. Perception Check

To check your perception of the feelings of someone else, state what you perceive that person to be feeling. A good perception check conveys this message: "I want to understand your feelings. Is this (making a statement of his feelings) the way you feel about it?"

Examples:

"Am I right that you feel disappointed that nobody commented on your suggestion?"

"Did you feel pushed out of line by what Kim just said?"

"I get the impression that you are angry with me. Are you?"

"I'm not sure whether your expression means that my comment hurt your feelings, irritated you or confused you."

Note that a perception check first identifies the other person's feelings in some way — "disappointed," "pushed out of line," and so forth — and second *does not express disapproval or approval of the feelings*. It merely conveys, "This is how I understand your feelings. Am I accurate?"

In some situations a response to the facts will be all that is needed; in others it is necessary to respond to the emotional level of the message. Practice with both kinds of responses and increased sensitivity to the emotional content of many statements is necessary to fully understand the other person.

Directions: For each item below you are to make up three different responses:

1) A paraphrase
2) A perception check
3) Any kind of response that would be apt to make the other person feel you weren't really responding to him and his message, that you hadn't really heard him and didn't understand.

Complete item one for yourself, then discuss it with the other members of your group. Then do item two in the same way. Do one item at a time, first by yourself, then together.

1. A colleague just before a new school year: "We had a terrible year last year."

   1)

   2)

   3)

2. A student says, "This problem is much too hard for me."

   1)

   2)

   3)

3. A friend says, "I just can't bring myself to tell Joe how bad his work is. He's such a friendly guy. But I can't let it go much longer because it's causing trouble for the rest of the department."

   1)

   2)

   3)

4. A student says, "I just can't seem to study anymore. I guess I don't have any motivation left."

   1)

   2)

   3)

5. A colleague says, "If I didn't know myself, last weekend would make me think I have a drinking problem."

    1)

    2)

    3)

6. A friend says, "Is it normal to be very concerned about whether others like you?"

    1)

    2)

    3)

7. A friend says, "Do you think I should try for that job at the University I told you about or should I continue where I am?"

    1)

    2)

    3)

8. A student says, "I'm really having a hard time getting this paper started for your class. I just don't know where to begin."

    1)

    2)

    3)

EXERCISE NUMBER TEN

TITLE: Description of Feelings

SOURCE: John L. Wallen, Neotsu, Oregon

GENERAL DESCRIPTION: This exercise is designed to help participants understand more about the way they communicate emotions by first establishing an important distinction between expressing and describing emotions and by then allowing the participants to practice making that distinction for themselves.

INSTRUCTIONS FOR USE: The entire exercise is distributed to the participants, who work through it in groups of three to five. Since the distinction between expressing and describing feelings seems a difficult one to grasp initially, it is often useful for the leader to stop the groups from time to time during the early stages of the exercise to check on their progress and understanding. Once all the groups have completed the exercise, a discussion of expressing and describing feelings may follow.

DESCRIPTION OF FEELINGS

Introduction:

Any spoken statement can convey feelings. Even a factual report — "It's three o'clock" — can be said so that it expresses anger or disappointment. However, it is not the words that convey the feelings. Whether the statement is perceived as a factual report or as a message of anger or disappointment is determined by the speaker's tone, emphasis, gestures, posture and facial expression. This exercise does not deal with the non-verbal ways we convey feelings. It focuses instead on the kinds of verbal statements we use to communicate feelings.

We convey feelings by

Commands: "Get out!" "Shut up!"
Questions: "Is it safe to drive this fast?"
Accusations: "You only think about yourself!"
Judgments: "You're a wonderful person." "You're too bossy."

Notice that although each of the examples conveys strong feeling, the statement does not say what the feeling is. In fact, none of the sentences even refers to the speaker or what he is feeling. By contrast the emotional state of the speaker is the content of some sentences. Such sentences will be called "descriptions of feeling." They convey feeling by naming or identifying what the speaker feels. "I am disappointed." "I am furiously angry!" "I'm afraid going this fast!" "I feel discouraged."

The goal of this exercise is to help you recognize when you are describing your feelings and when you are conveying feelings without describing them.

Trying to describe what you are feeling is a helpful way to become more aware of what it is you do feel. A description of feelings conveys maximum information about what you feel in a way that will probably be less hurtful than commands, questions, accusations and judgments. Thus, when you want to communicate your feelings more accurately you will be able to.

Directions:

This is not a test. Complete only one item at a time as the steps show.

1st — Mark your answers for item 1 only. *Do Not* do the other items yet.

2nd — Compare your responses to item 1 with those of the other members of your small group. Discuss the reasons for any differences.

3rd — Turn to the pages titled "Discussion of Responses."
One person might read aloud the paragraph for item 1. Discuss this until you all believe you understand the point being made.

4th — Repeat steps 1, 2 and 3 for item 2. Then continue this process in turn for each item until you have completed all ten items.

In each set below, all the sentences convey feeling, that is, any of them could have been spoken by the same person in the same situation. Each sentence, however, may be either of two different ways of communicating feelings by words.

Put a *D* before each sentence that conveys feelings *by describing* the speaker's feeling.

Put a *No* before each sentence that conveys feeling but *does not describe* what it is.

Item 1. ( ) a. Shut up! Not another word out of you.
( ) b. I'm really annoyed by what you just said.

Item 2. ( ) a. Can't you see I'm busy? Don't you have eyes?
( ) b. I'm beginning to resent your frequent interruptions.
( ) c. You have no consideration for anybody else's feelings. You're completely selfish.

Item 3. ( ) a. I feel discouraged because of some things that happened today.
( ) b. This has been an awful day.

Item 4. ( ) a. You're a wonderful person.
( ) b. I really respect your opinions; you're so well-read.

Item 5. ( ) a. I feel comfortable and free to be myself when I'm around you.
( ) b. We all feel you are a wonderful person.
( ) c. Everybody likes you.

Item 6. ( ) a. If things don't improve here, I will look for a new job.
( ) b. Did you ever hear of such a lousy place to work?
( ) c. I'm afraid to admit that I need help with my work.

Item 7. ( ) a. This is a very poor exercise.
( ) b. I feel this is a very poor exercise.

Item 8. ( ) a. I feel inadequate to contribute anything in this group.
( ) b. I am inadequate to contribute anything in this group.

Item 9. ( ) a. I am a failure — I'll never amount to anything.
( ) b. That teacher is awful — he didn't teach me anything.
( ) c. I'm depressed because I did so poorly on that test.

Item 10. ( ) a. I feel lonely and isolated in my group.
( ) b. For all the attention anybody pays to what I say I might as well not be in my group.
( ) c. I feel that nobody in my group cares whether I'm there or not.

DISCUSSION OF RESPONSES

Item 1: a . . . No. Commands such as these convey strong emotion but do not name what feeling prompted them.

b . . . D. The speaker says he feels annoyed.

Item 2: a . . . No. These questions express strong feeling without naming it.

b . . . D. The speaker says he feels resentment.

c . . . No. These accusations convey strong negative feelings. Because the feelings are not named we do not know whether the accusations stemmed from anger, disappointment, hurt or what.

Item 3: a . . . D. The speaker says he feels discouraged.

b . . . No. The statement appears to describe what kind of day it was. In fact, it expresses the speaker's negative feelings without saying whether he feels depressed, annoyed, lonely, humiliated, rejected or what.

Item 4: a . . . No. This value-judgment reveals positive feelings about the other person but does not describe what they are. Does the speaker like the other person, respect him, enjoy him, admire him, love him or what?

b . . . D. The speaker describes his positive feeling as respect.

Item 5: a . . . D. This is a clear description of how the speaker feels when with the other person.

b . . . No. First, the speaker does not speak for himself but hides behind the phrase, "We feel." Second, "You're a wonderful person" is a value-judgment and not the name of a feeling.

c . . . No. The statement does name a feeling (likes), but the speaker attributes it to everybody and does not make clear that the feeling is within him. A description of feeling must contain "I," "me," "my" or "mine" to make clear that the feelings are the speaker's own — are within him.

Does it seem more affectionate for a person to tell you, "I like you" or "Everybody likes you?"

Item 6: a . . . No. This conveys negative feelings by talking about the condition of things in this organization but does not say what the speaker's inner state is.

b . . . No. This is a question that expresses a negative value-judgment about the organization. It does not describe what the speaker is feeling.

c . . . D. This is a clear description of how the speaker feels in relation to his job. He feels afraid.

Expressions *a* and *b* are criticisms of the organization that could come from the kind of fear described in *c*. Negative criticisms and value-judgments often sound like expressions of anger. In fact, negative value-judgments and accusations often are the result of the speaker's fear, hurt feelings, disappointments or loneliness.

Item 7: a . . . No. This is a negative value-judgment that conveys negative feelings but does not say what kind they are.

b . . . No. Although the speaker begins by saying, "I feel," he does not then name what he is feeling. Instead he passes a negative value-judgment on the exercise. Note that merely tacking the words "I feel" on the front of a statement does not make it a description of feeling. People often say "I feel" when they mean "I think" or "I believe"; for example, "I feel the Yankees will win" or "I feel you don't like me." Many persons who say they are unaware of what they feel or who say they don't have any feelings about something habitually state value-judgments without recognizing that this is the way their positive or negative feelings get expressed.

The speaker could have said that he felt confused or frustrated or annoyed. He would then have been describing his feelings without evaluating the exercise itself.

Many arguments could be avoided if we were careful to *describe* our feelings instead of expressing them through value-judgments. For example, if Joe says the exercise is poor and Fred says it is good, they may argue about which it "really" is. However, if Joe says he was frustrated by the exercise and Fred says he was interested and stimulated by it, no argument should follow. Each person's feelings are what they are. Of course, discussing what it means that each feels as he does may provide helpful information about each person and about the exercise itself.

Item 8: a . . . D. The speaker says he feels inadequate.

b . . . No. Careful! This sounds much the same as the previous statement. However, it says that the speaker actually *is* inadequate — not that he just currently feels this way. The speaker has passed a negative value-judgment on himself; he has labeled himself as inadequate.

This subtle difference was introduced because many people confuse feeling and being. A person may *feel* inadequate to contribute in a group and yet make helpful contributions. Likewise, he may *feel* adequate and yet perform very inadequately. A person may *feel* hopeless about a situation that turns out not to *be* hopeless.

One sign of emotional maturity may be that a person does not confuse what he feels with the nature of the situation around him. Such a person knows he can perform adequately even though he *feels* inadequate to the task. He does not let his feelings keep him from doing his best because he knows the difference between feelings and performance and that the two do not always match.

Item 9: a . . . No. The speaker has evaluated himself a failure.

b . . . No. Instead of labeling himself a failure the speaker blames the teacher. This is another value-judgment and not a description of feelings.

c . . . D. The speaker says he feels depressed.

Statements *a* and *c* illustrate the important difference between passing judgment on oneself and describing one's feelings. Feelings can and do change. To say that I am now depressed does not imply that I will or must always feel the same. However, if I label myself as a failure — if I truly think of myself as a failure — I increase the probability that I will act like a failure. One woman stated this important insight for herself this way: "I have always thought I was a shy person. Many new things I really would have liked to do I avoided — I'd tell myself I was too shy. Now I have discovered that I am not shy although at times I *feel* shy."

Many of us avoid trying new things by labeling ourselves. "I'm not artistic." "I'm not creative." "I'm not articulate." "I can't speak in groups." If we could recognize what our feeling is beneath such statements, maybe we would be more willing to risk doing things we are somewhat fearful of.

Item 10: a . . . D. The speaker says he feels lonely and isolated.

b . . . No. This conveys negative feelings but does not say whether he feels angry, lonely, disappointed, hurt or what.

c . . . No. Instead of "I feel" the speaker should have said "I believe." The last part of the statement really tells what the speaker believes the *others feel* about him and not what he feels.

Expressions *c* and *a* relate to each other as follows: "Because I believe that nobody in my group cares whether I am there or not, I feel lonely and isolated."

Chapter Ten

Life Planning *

The contemporary human condition is filled with paradoxes both bewildering and painful. The human imagination is unbound; we are rapidly extending our conceptions of space and time, yet at the same moment we are becoming increasingly aware of our social and physical limitations and of the limitations of the environment in which we live. We believe in the value of reason in institutional and individual decision-making, yet we see all around us the effects of the irrational. The limitations within which we must live and the irrationality which seemingly dictates our lives lead to the alienation, apathy and even violence to which our society has been exposed in increasing measure during the last two decades.

We are a society in which decisions become harder and harder to make and in which planning for a future that will almost certainly be characterized by rapid change seems to be a futile enterprise. The decisions which we are supposed to make in our lives often seem to be determined by physical or social forces outside ourselves. In identifying these forces as the primary determinants of our behavior, however, we may have produced a convenient fiction. To the extent that we can claim we are not responsible for our decisions, we cannot be faulted for, nor even feel responsible for, our failures. Phillip Slater has vividly portrayed the nature of this fiction:

> Once upon a time, there was a man who sought escape from the prattle of his neighbors and went to live alone in a hut he had found in the forest. At first he was content, but a bitter winter led him to cut down the trees around his hut for firewood. The next summer he was hot and uncomfortable because his hut had no shade, and he complained bitterly of the harshness of the elements.
>
> He made a little garden and kept some chickens, but rabbits were attracted by the food in the garden and ate much of it. The man went into the forest and trapped a fox, which he tamed and taught to catch rabbits. But the fox ate up the man's chickens as well. The man shot the fox and cursed the perfidy of the creatures of the wild.
>
> The man always threw his refuse on the floor of his hut and soon it swarmed with vermin. He then built an ingenious system of hooks and pulleys so that everything in the hut could be suspended from the ceiling. But the strain was too much for the flimsy hut and it soon collapsed. The man grumbled about inferior construction and built himself a new one.
>
> One day he boasted to a relative in his old village about the peaceful beauty and plentiful game surrounding his forest home. The relative was impressed and reported back to his neighbors, who began to use the area for picnics and hunting excursions. The man was upset by this and cursed the intrusiveness of mankind. He began posting signs, setting

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*Based in large part on an unpublished paper entitled "Life Planning in Education" written by William Bergquist and Nancy Barber. We wish to express our appreciation to Ms. Barber for her gracious permission in allowing us to use this material.

> traps and shooting at those who came near his dwelling. In revenge groups of boys would come at night from time to time to frighten him and steal things. The man took to sleeping every night in a chair by the window with a loaded shotgun across his knees. One night he turned in his sleep and shot off his foot. The villagers were chastened and saddened by this misfortune and thereafter stayed away from his part of the forest. The man became lonely and cursed the unfriendliness and indifference of his former neighbors. And in all this the man saw no agency except what lay outside himself, for which reason, and because of his ingenuity, the villagers called him the American.[1]

"Life Planning" offers a different model of personal decision-making. Each individual is assumed to make free[2] decisions based on his own values, goals and attitudes and on information about the physical, social and personal forces acting on and within himself. A decision-maker may choose to ignore a particular value or to discount the potential effects of a particular social force on the success or failure of a decision. Conversely, he may choose to be obsessed by a particular value, or to overestimate the effects of a particular social force. In either case, the decision is his own. By relying on precedent or on the advice of another person, he may choose not to decide. But in so doing, he has made a decision. Life planning seeks to assist the individual in making the inevitable decision.

Three stages can be described in the process of personal decision-making and life planning: (1) setting of targets, (2) definition of situations and (3) generation of proposals. This model, which was first developed as a problem-analysis model for small groups by Fred Fosmire and John Wallen,[3] has been outlined in Figure Three. Each of the three steps is expanded and more thoroughly discussed in the remaining sections of this chapter.

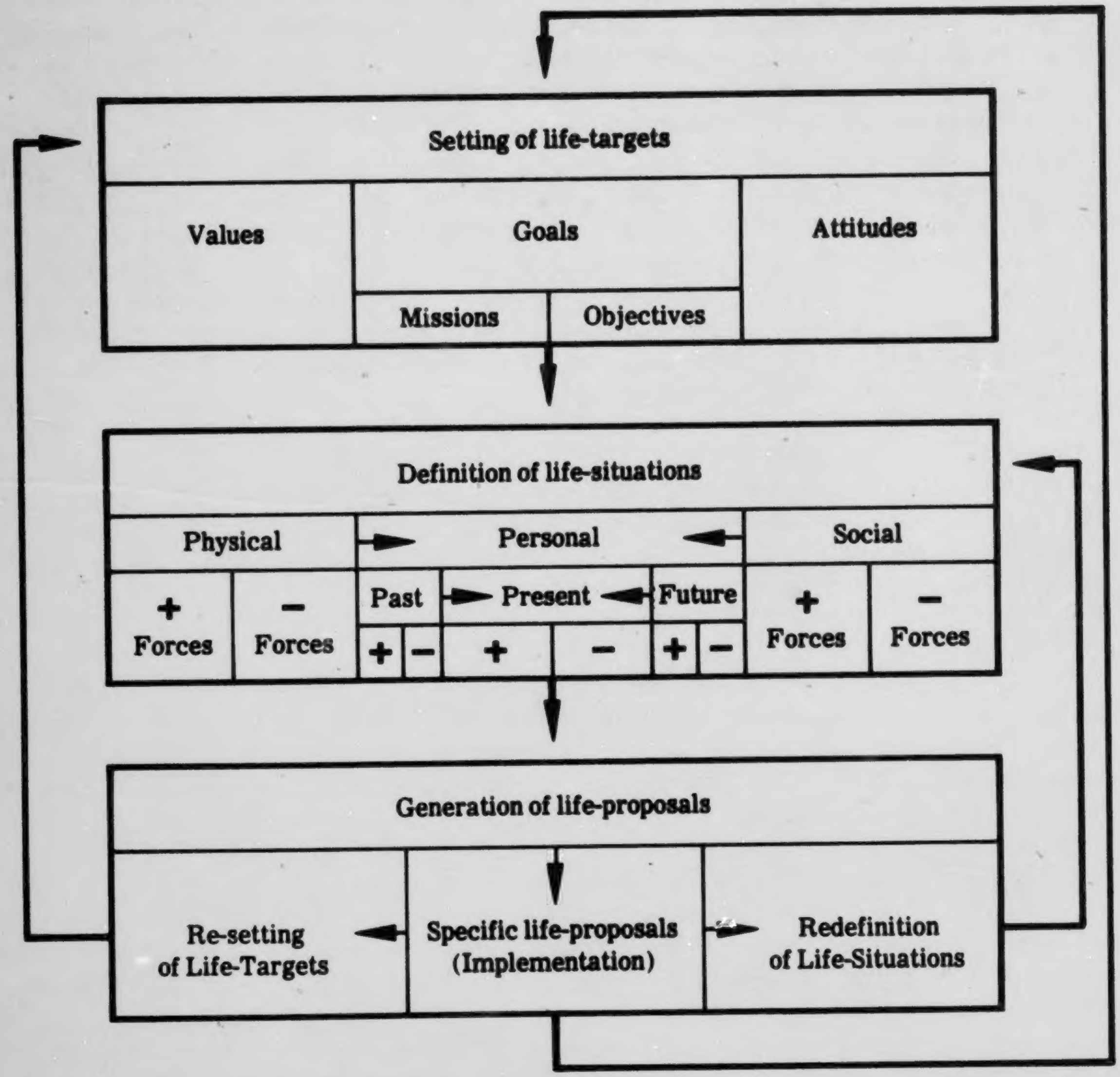
A. Setting of Life Targets

As a first phase in the development of effective life plans, an individual must become increasingly aware of her own values, goals and attitudes, for the targets that she develops will have greater depth and will be more clearly and consistently derived from herself than targets derived from uncritically embraced or externally derived values, goals and attitudes. In particular, we are often uncritical in either accepting or rejecting the values of our parents or peers. Life planning provides a series of experiences and exercises that can increase our awareness of the origins of our values and the extent to which they may be modified by our own personal experiences.

Our values tend to indicate what we are most concerned about in our lives. Is a particular event or condition of relative or ultimate concern? Is it placed in a continually-shifting relationship to other values or is it invariably of primary concern in all aspects of our lives? Values, however, differ from goals in that values are frequently associated with events or conditions over which we have very limited control, such as the preservation of life. In this sense, values have little direct bearing on personal decision-making, although they may ultimately influence or even dictate goals. Further, values have a strong impact on our attitudes about the world, but they are not attitudes themselves: the categories of "good" and "bad," for example, are inappropriate when applied to values. The preservation of life is not in itself either good or bad; we speak instead of the relative importance of this value when it comes into conflict with another value, like national security.

Goals, on the other hand, reflect values but are more specifically and concretely influential in daily activities. Highly abstract goals associated with ultimate values often manifest themselves as "missions." While a mission may be valuable as a guiding light for either a person or an organization, it can also become a preoccupation that may crowd out other important goals to the extent that the individual or organization becomes one-dimensional. In modern times, such individuals have been identified as "true believers"[4] or individuals with "closed minds."[5] From the "organiza-

Figure Three


Setting of life-targets
Values
Goals
Attitudes
Missions
Objectives
Definition of life-situations
Physical
Personal
Social
+ Forces
− Forces
Past
Present
Future
+
−
+
−
+
−
+ Forces
− Forces
Generation of life-proposals
Re-setting of Life-Targets
Specific life-proposals (Implementation)
Redefinition of Life-Situations

A MODEL OF LIFE PLANNING

tion man" of the 1950's, through the revolutionaries of the 1960's, to the cultists of the 1970's, we have witnessed dramatic examples of individuals who operate almost exclusively in one dimension of life, usually at the expense of other dimensions. Clear goals, on the other hand, provide us not only with directions but also with standards against which we can determine the adequacy of our performance. Without goals, we are unable to learn from past successes or failures; with clearly defined goals we have standards against which the current situation can be judged. The learning necessary for the generation of effective proposals becomes possible.

Broad life goals reflect our general system of values and are in turn reflected in our daily behavior. Objectives are even more specific, precise and concrete and are usually viewed as a means toward an end rather than as ends in and of themselves. In a life planning sequence, the definition of objectives is extremely important, for they provide identifiable guidelines for determining both the direction of a life planning proposal and the conceptual and practical adequacy of a particular plan in moving toward a general goal. Just as the Management by Objectives program[6] has proven valuable for organizations and small group decision-making, the life planning model can provide similar assistance to the individual in designing and implementing personal life plans.

Attitudes, like goals and objectives, provide guidelines for us in our daily lives, though they tend not to translate directly into action. Attitudes remain primarily conceptual and in most instances refer to our tendency to categorize objects and experiences on an evaluative continuum. Our attitudes often remain hidden from other people and even from ourselves until such time as they are reflected in behavior. Attitudes should not, however, be seen as unimportant, for the way in which we conceptualize and categorize our world has profound influence on the way in which we behave in it and interact with it. Yet precisely because attitudes are usually hidden but highly influential, they are often troublesome in personal life planning, for we often discount or ignore the influence of our attitudes, particularly when they are socially unacceptable or personally distasteful. Life planning seeks to heighten our awareness of attitudes which we often have not recognized in ourselves; this awareness is an important prerequisite for effective personal decision-making about important life goals.

Values, goals, objectives and attitudes must be integrated in a life planning model. The decision-maker assesses the impact of both values and attitudes on the goals she sets for herself. Clarifying the values associated with a goal tends to expand it and give it affective power. Identifying the attitudes associated with a goal will give it detail and conceptual strength. Similarly, by defining broader missions and more specific objectives, the planner can more clearly define a goal. In setting a target, the life planner will attend to values and attitudes associated with primary goals. These goals are in turn derived from a specific mission and can be described more concretely in a set of stated objectives. Attention to each of these components of the target will lead toward effective life planning.

B. Defining Life Situations

The various forces in a life situation continuously interact to define the potentials as well as the limitations of our lives. Physical forces can be directly defined in terms of time and space. Physical resources, like money, and physical barriers, such as lack of technical skills, can also be clarified. Social forces can be similarly defined in terms of direction or duration by analogy with physical forces.[7] A force-field analysis integrates both physical and social forces in defining a current life-situation. These forces are first classified on the basis of their positive or negative effects on the attainment of a specific target. These forces are then further classified in terms of their strength and durability. Negative forces that are strong but not durable provide excellent starting points for any change project, just as strong positive forces with high levels of durability provide points of support and stability.

While physical and social forces must be confronted and examined in any assessment of life situations, these forces should not be considered the exclusive determinants of the situation, for we usually have considerable freedom in operating within physical and social constraints. An essential component of any life planning program is "self-management" — a concept developed by John and Joyce Weir for use in personal growth workshops. In essence, self-management is a profound affirmation of an individual's freedom and responsibility to control and plan his own life. Under self management, one *chooses* to be influenced by another person or event, for neither can have direct impact on an individual, either physiologically or conceptually. Another person cannot make one either think or feel something, for these cognitive and affective processes are assumed to be totally under individual control. Each of us is responsible for the formation of images of others in our own mind and is responsible for the way in which we use these images to affect ourselves. Another person cannot make us happy or sad; rather, each of us can "sadden ourselves" or even "happy ourselves" with the image of the other person. Similarly, each of us can choose to hurt ourselves with our image of some event; the event, in and of itself, cannot provide the punishment.

In life planning, self management is important as we examine current life situations. Life planning emphasizes individual perceptions of past and future as these perceptions influence the current conception of self. Past and future perceptions, whether accurate or inaccurate, have a significant influence on life plans and hence must be brought to full awareness for effective personal decision-making. In particular, the emotions associated with past experiences and future expectations have an immediate, important impact on current life experiences. These emotions tend to provide organization around which memories and fantasies cluster.

Past experiences which are linked with such unacceptable emotions as anger or envy tend to be forgotten. Although Freud spoke of this as "repression," the process can perhaps be more accurately conceptualized as an inability of the individual to retrieve a memory because the emotional label needed for this is unacceptable to or not clearly defined by the individual. In life planning, it is important to know which kinds of past experiences are retrievable and which are not. Knowledge of retrievability provides us with insight into not only what we remember about our past but also into which emotions we are likely to find particularly difficult even in our present lives.

In examining our past experiences, we must also carefully compare past and present values. The values of our childhood tend to be closely linked with the influences of parents and peers. We embraced values as children primarily on the basis of modeling and coercion. We tend to modify this value system as we gradually reduce our sense of omnipotence in the universe we occupy; value systems thus tend to become increasingly relativistic and situational. As we mature, each of us becomes increasingly aware of both alternate value systems and of discrepancies between professed and exhibited values.

In life planning it is important to reexamine the development of values and to recognize the impact which this development has on current value systems. To what extent, for instance, are the values we now hold compatible with those of our parents? Among those values that are compatible, to what extent have we continued to embrace them on the basis of experience, rather than on the basis of parental approval? Conversely, have we rejected our parents' values simply because we wish to be independent or because of our experiences? Most of us have experienced the "cognitive dissonance" associated with holding both an image of ourselves as autonomous, self-managed individuals, and a simultaneous recognition of the fact that many of our values are not truly derived from personal life experiences but rather from parental and peer sources.[8] A life planning workshop can provide a climate of trust in which a critical examination of values may take place.

Our perceptions of the future also play a vital role in the life planning process. The often unclear, elusive and even contradictory images that we have of our future influence our current life plans in a number of ways. We will, of course, plan for the future on the basis of current expectations. Even more importantly, however, our images of the future can reflect, in a significant and revealing manner, our current state of mind. If, for example, we expect to have a highly successful career within the next five years, then we are liable to establish high standards for present career work. Frequently, we can acquire a better sense of the current forces in our lives by examining future expectations, hopes and fears.

Another way to look at the role of the future in life planning is to examine the process through which we make decisions. Often our decisions are made on an emotional basis before they are made at a rational level. The irrational decisions may be made some time before the rational; the latter decision-making process is then used only to justify the former. For example, we might decide to buy a particular make of automobile on the basis of an emotional factor like prestige. We then increase our efforts to find rational information to support this decision. As a means of looking at the emotional basis of a decision, it is often useful to use fantasies about the future, for emotional decision-making frequently takes place in fantasy.

Life planning makes extensive use of fantasy as a means of assessing not only images of the future but also current problem-solving processes. The examination of the present situation, coupled with preceding examinations of past and future experiments constitutes a clarification of self. To the extent that we have a clear sense of self, our behavior will be consistent in moving toward highly valued goals. To the extent that we operate without a clear sense of self, our behavior will be erratic.[9]

In examining the present, past and projected future, we can become more fully aware of those aspects of self that we can describe in considerable detail and of those that are vague. As with past memories, those aspects of self that tend to be associated with unacceptable emotions are usually not very detailed. Those which tend to be associated with important decisions, however, are frequently quite detailed, for at the "cutting edge" of decision-making our sense of self tends to be clear. For example, at the point when someone has to choose between two highly attractive job offers, his sense of professional or vocational self becomes quite clear. Similarly, when an individual is faced with a choice concerning matrimony, his self-image becomes much clearer concerning sexuality, fiscal responsibility and emotional intimacy. The life planning model emphasizes the decision-making process precisely for the reason that these processes heighten our sense of self and our awareness of personal life targets and life situations.

C. Generating Life Proposals

The third and final step of the life planning sequence involves the development of proposals, and ultimately projects, that move the planner from her current situation to a selected target. The proposals should be concrete, realistic and of limited duration in order to move the planner past the usual self-defeating step of resolving to complete some project that is unmanageable in terms of either size — "I want to become an open and wise person" — or duration — "I want to spend the next ten years of my life attempting to improve the quality of my writing." In developing life-projects, it is important to generate proposals that are closely linked with the targets and situations that have been identified in the first two steps of the life planning sequence.

Having completed the proposal development phase, the life planner is ready to implement the project. At this point, the recycling aspect of the life planning model emerges. Precisely at the point when the life planner beings to implement his project, the current situations and targets of his life have begun to change. Physical and social forces will usually alter, particularly if the project is successful. The project will also affect the life planner's image of self and new goals will emerge depending on the relative success of the project. Experiences associated with the project will often also affect current values and attitudes.

The recycling that takes place in life planning is an indication of the significant experience-based learning that is inherent in the model. The individual who has moved through this process two or three times will learn to plan with increasing awareness of existing situational and target variables and with increasing skill in generating and implementing creative and flexible life projects.

NOTES:

[1] Philip Slater, *The Pursuit of Loneliness* (Boston: Beacon Press, 1970), pp. xi-xii.

[2] We do not imply by this that man does or does not have "free will." In accord with George Kelly, *The Psychology of Personal Constructs* I (New York: Norton, 1955), we find the construct of freedom in decision-making to be convenient in our discussion of life planning. From an alternative perspective, and for alternative purposes, the behavior of man can be considered the product of external forces or stimuli.

[3] A more extended discussion of this model can be found in the first volume of this handbook (pp. 181-182).

[4] Eric Hoffer, *The True Believer* (New York: Harper, 1958).

[5] Milton Rokeach, *The Open and Closed Mind* (New York: Basic Books, 1960).

[6] Peter Drucker, *The Effective Executive* (New York: Harper and Row, 1967); George Odiorne, *Management Decisions by Objectives* (New York: Prentice-Hall, 1969); and Robert Lahti, *Innovative College Management* (San Francisco: Jossey-Bass, 1973).

[7] Kurt Lewin, "Frontiers in Group Dynamics," *Human Relations*, 1 (1947), 5-41.

[8] Leon Festinger, *A Theory of Cognitive Dissonance* (Stanford: Stanford University Press, 1957).

[9] A sense of "self" tends to be a very important developmental task that confronts each of us as adolescents and students, as noted by Arthur Chickering in *Education and Identity* (San Francisco: Jossey-Bass, 1969). The "identity crisis" that was first described by Erik Erikson in *Childhood and Society* (New York: Norton, 1950) is experienced by most of us in our teens or twenties. This crisis represents a highly motivated search for a sense of "self." Recent research on adult development by Daniel Levinson and his colleagues at Yale University (see: Daniel Levinson and others, "The Psychosocial Development of Men in Early Adulthood and the Mid-Life Transition," *Life History Research in Psychopathology*, 3 (1974), 243-258) indicates that this crisis, in many different forms, will continue for most of us throughout our adult lives. The life planning model can provide valuable assistance during these difficult periods.

PLANNING DOCUMENT NUMBER ONE

TITLE: Life Planning Workshop

SOURCE: William H. Bergquist and Nancy Barber, derived in part from life planning procedures first developed by Herbert A. Shephard

GENERAL DESCRIPTION: Life planning workshops vary widely in both length and content. A workshop of only three hours can be quite effective, though most life planning workshops are between one and three days in length. Some focus on planning for the future, while others involve an assessment of one's present life. Still others are concerned with the management of significant transitions or changes in one's life. Three different life planning workshop designs are described in this planning document. The first of these workshops is one day long and focuses on transitions; the second is two days in length and focuses on an assessment of one's current life. The third design involves three days of exercises and focuses on planning for future actions.

INSTRUCTIONS FOR USE: Each workshop design indicates the general focus and duration of each proposed life planning activity. All three designs can be carried out through the use of exercises that have been included in this chapter. In each instance, we have indicated the number of the exercise which we believe is most appropriate in the achievement of each workshop goal.

LIFE PLANNING WORKSHOP
DESIGN NUMBER ONE

Focus: Managing Significant Transitions in Life
Duration: Eight Hours

ACTIVITY NUMBER	GENERAL GOALS	RECOMMENDED EXERCISE	DURATION
1.	Acquaint participants with concepts of transitions and stress Help participants increase their awareness of their personal style of managing transitions	Transitions (Exercise Number Thirteen)	Three hours
2.	Help participants identify their personal assumptions about the future Help participants think about changes that are implied in these assumptions	Images of the Future (Exercise Number Fourteen)	Two hours
3.	Help participants assess their current situation concerning specific goals Help participants develop action plans	Building a Project (Exercise Number Eighteen)	Three hours

LIFE PLANNING WORKSHOP
DESIGN NUMBER TWO

Focus: Gaining Insights about One's Current Life
Duration: Two Days (Twelve Hours)

ACTIVITY NUMBER	GENERAL GOALS	RECOMMENDED EXERCISE	DURATION
1.	Help participants examine several aspects of their current lives Help participants examine several aspects of their past and future lives as these aspects reflect on their current lives	Life Shields (Exercise Number Eleven)	Three hours
2.	Help participants gain a broader perspective on their lives	Perspectives on Life (Exercise Number Fifteen)	Seventy-five minutes
3.	Help participants examine a variety of issues concerning their present lives	Life Inventory (Exercise Number Sixteen)	Two and a quarter hours
4.	Help participants identify and establish priorities for their current values Help participants relate present values to the values of the past and future	Values Assessment (Exercise Number Seventeen)	Two and a half hours
5.	Help participants assess their current situation concerning specific goals Help participants develop action plans	Building a Project (Exercise Number Eighteen)	Three hours

LIFE PLANNING WORKSHOP
DESIGN NUMBER THREE

Focus: Planning for the Future
Duration: Three Days (Eighteen Hours)

ACTIVITY NUMBER	GENERAL GOALS	RECOMMENDED EXERCISE	DURATION
1.	Help participants examine several aspects of their lives	Life Shields (Exercise Number Eleven)	Three hours
2.	Help participants explore changes in their past, present and future lives	Life Line (Exercise Number Twelve)	Two hours
3.	Help participants identify their expectations about the future	Images of the Future (Exercise Number Fourteen)	Three hours
4.	Help participants examine a variety of issues concerning their past, present and future lives	Life Inventory (Exercise Number Sixteen)	Three hours
5.	Help participants identify past, present and future values, as well as establish the priorities of present values	Values Assessment (Exercise Number Seventeen)	Three hours
6.	Help participants assess their current situation concerning specific goals Help participants develop action plans	Building a Project (Exercise Number Eighteen)	Four hours

EXERCISE NUMBER ELEVEN

TITLE: Life Shields

SOURCE: William H. Bergquist and Nancy Barber, based in part on an exercise described by Sidney B. Simon, Leland W. Howe and Howard Kirschenbaum, *Values Clarification* (New York: Hart, 1972), pp. 278-280

GENERAL DESCRIPTION: The life shields exercise provides participants with the opportunity to survey several different aspects of their lives (past, present and future), often through nonverbal means. This exercise is frequently the first one to be used in a life planning workshop, for it briefly covers most of the important aspects of life planning, including the values of childhood, images of the distant future and desired goals for the immediate future. Each of these topics, in turn, can be treated in greater depth at a later time.

The shield usually generates little defensiveness, though some participants might feel uneasy about the nonverbal aspects. This problem can be easily corrected by indicating to participants that, if needed, they should feel free to express themselves in writing. Once participants have this assurance they often seem to feel less fearful about working nonverbally.

INSTRUCTIONS FOR USE: The following steps are used in conducting this exercise:

1. Each participant is given a sheet of paper of at least regular letter size; preferably full sheets of newsprint or large sheets of butcher paper will be available. Each participant should also be provided with a nylon-tipped pen. If possible, a variety of colored marking pens should be available, along with an assortment of crayons, pieces of colored chalk, construction paper, glue, paper clips and so forth.
2. Each participant is asked to draw a shape on his piece of paper which is to represent his "life space." This shape can be of any form or size. It is only essential that it be closed, so that there is clearly an inside and an outside. You might wish to note in passing that some people will define their life space as very large, others as very small; some people will define an irregular space, others will draw a simple circle or square. As an option, each participant can be given the shield that is attached to this exercise. If the handout is used then this second step should be omitted.
3. After the life space or shield is drawn, the leader should spend several minutes talking about the two functions which shields have served in history. First, they have been used as protective devices to ward off spears and arrows. Second, they have been used to proclaim the values and aspirations of a specific family, clan or country; the design that was drawn on the shield expressed something about the person who held the shield. Thus a shield can serve both as a barrier and as a vehicle for disclosure. The participants might at this point be asked to examine and possibly even discuss the extent to which their current life space or shield tends to protect them from other people or helps them to contact and communicate with others.
4. Each participant is asked to use her life space or shield as an arena in which to respond to, usually, six statements or questions. Unless otherwise indicated, the response to each statement or question should be nonverbal and may involve a combination of pictures, colors, shapes, diagrams and so forth. Most participants will want to divide their shields into six sections, though this is not necessary. Participants, however, should be aware of the amount of space which they allocate to each of their six responses, as well as the amount of time and attention which they devote to each response and the ways in

which their six responses interact on the sheet of paper.

The six statements or questions to which each participant is to respond will vary greatly depending on the focus and direction of the workshop and on the age and primary concerns of the participants. In general, the statements and questions should give equal attention to past, present and future events. We usually pick two statements or questions from each of the three following time dimensions; we most frequently use the first two or three statements in each category

Past Events

a. Identify one highly valued possession from your childhood.
b. Identify one "peak experience" from your past — one event that was particularly meaningful and has had a significant impact on your life.
c. Identify one value from your childhood or early adulthood that no longer is important to you.
d. Identify one fear from your childhood or early adulthood that continues to be of concern to you.
e. Using one or two words or a single phrase, identify one theme that would best describe your life until the present time.

Present Events

a. Identify one thing you did this past year that would generally be acknowledged a success by most people you know (or that would generally be acknowledged a failure).
b. Identify one important learning for you during this past year.
c. Identify something that you have mastered during this past year.
d. If you were to change one important decision which you made during this past year what would it be?
e. How would you describe your present feelings about yourself (using colors and/or shapes)?

Future Events

a. If you were guaranteed success in doing one thing during the coming year, what would it be?
b. Imagine that several years after your death a movie is made about your life; what would you like the title of this movie to be?
c. What do you fear most about your life during the next five years?
d. Describe a very special event (a "peak" experience) that might occur in your life ten years from now.
e. Write an epitaph for yourself.

As an option the participants can be instructed to answer each of these questions verbally, using one word or phrase or a cluster of words that are placed spatially on the page in a manner which conveys something about their interrelationship.

5. Once the participants have finished their shields, they should spend a few minutes reflecting on the implications of what they have produced. They should then select one other person with whom to discuss the contents of the shield. They should be instructed either to select someone with whom they could comfortably discuss their shields or to select someone with a shield that in some important way is like their own.

This two person discussion should continue for at least one half hour. Preferably, the session will be open-ended, so that participant pairs can continue to discuss their shields for an hour or more. Some participants will complete this exercise in a short period of time. Others will take a relatively long time to complete or discuss their shields. If possible, the exercise should be designed and conducted to accommodate these individual differences. Participants can gain major insights about themselves by observing and reflecting on how much time they are willing to devote to themselves relative to other participants.

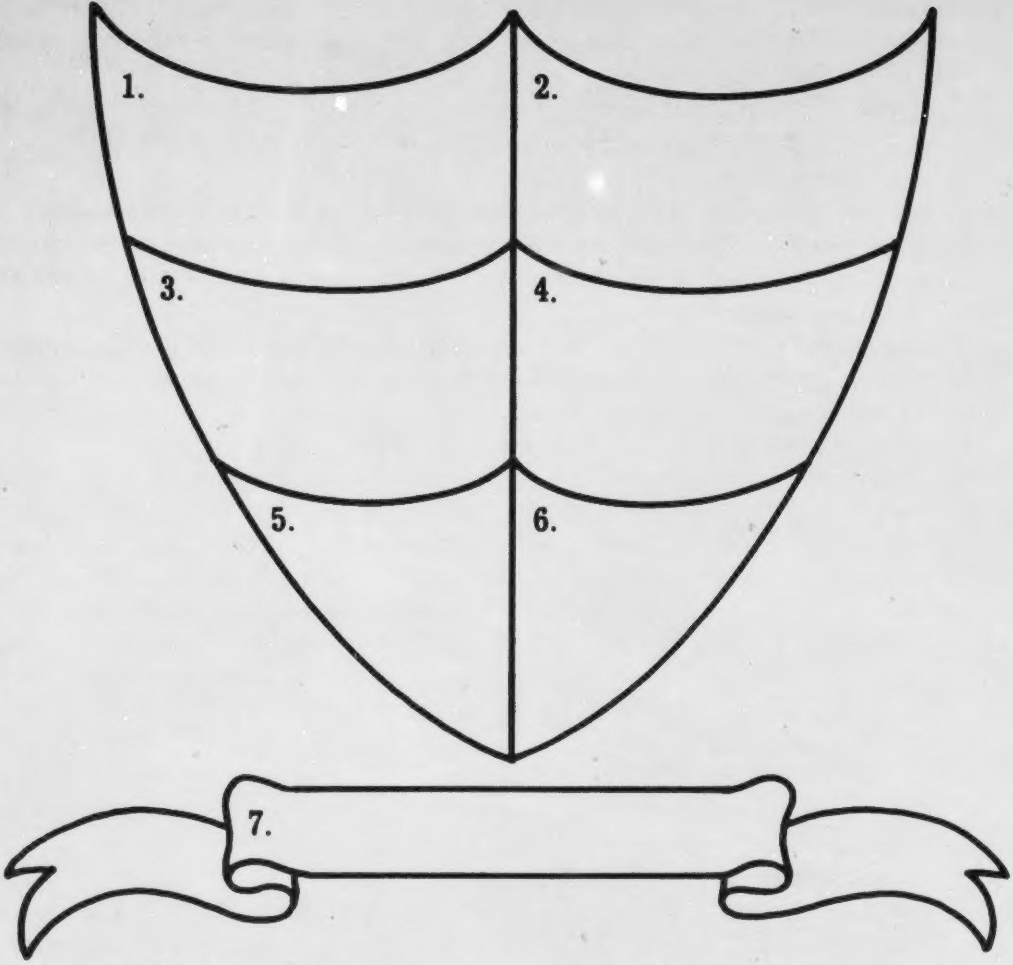
In order to help participants gain maximum insights from this exercise, it is often useful to ask them several of the following questions while they are reflecting on and discussing their shields:

a. What does this shield tell you about the things in your life that you most value?
b. What does this shield tell you about what you need to learn or do in the near future?
c. What does this shield tell you about what you are or are not willing to reveal about yourself to other people?
d. What does this shield tell you about yourself as a person who learns and changes?
e. What is the one most important thing that you have learned about yourself from this exercise?
f. What is the most surprising thing about this shield?
g. Are there common themes or learnings that the two of you have identified on your shields?

6. If there is sufficient time, and if the participants finish discussing their shields at about the same time, a general discussion is often appropriate and valuable. The participants are encouraged to share the common themes that emerged from their discussions and to talk briefly about one or more of the important learnings or surprises that emerged from the exercise. The leader might at this point want to introduce several of the major principles of life planning if it seems appropriate.

Finally, participants might be encouraged to wander around the room, looking at the other shields that have been produced. This might be best done without talking, or participants might be encouraged to discuss their shields with each other. If possible, the shields should be taped up on the wall for the duration of the workshop so that participants can modify their shields based on new learnings that occur to them. By posting all of the shields, a workshop community can often gain a clearer sense of common themes, values and images. If the shields are posted, important learning can continue after the exercise is completed.

LIFE SHIELD



A shield serves as both a protection against spears and arrows and as a surface for the display of the values, aspirations and the history of one's family, clan or country. You are invited to create your own shield and to imagine that this shield is a source of both security and disclosure. In each of the numbered spaces on the shield please draw an appropriate picture or abstract shape in spaces one to six and words or a phrase in space seven in accordance with the following statements:

1. Identify one possession from your childhood that you cherish or value.
2. Identify one peak experience from your past life — one event that was particularly meaningful or influential.
3. Identify something that you have mastered for the first time during this past year.
4. What is one major learning for you this past year that resulted from a failure?
5. If you were guaranteed success in doing any one thing during the coming year, what would that activity be?
6. Predict one important event that you expect to occur in your life over the next ten years.
7. Imagine that a movie is being made about your life several years after your death. What would you like the title of this movie to be (use words or a phrase)?

EXERCISE NUMBER TWELVE

TITLE: Life Line

SOURCE: William H. Bergquist and Nancy Barber, expanding on the procedure originally developed by Herbert A. Shephard (National Training Laboratories, Washington, D.C.); also published in J. William Pfeiffer and John E. Jones, *A Handbook of Structured Experiences for Human Relations Training*, 2 (San Diego: University Associates, 1974), pp. 101-112

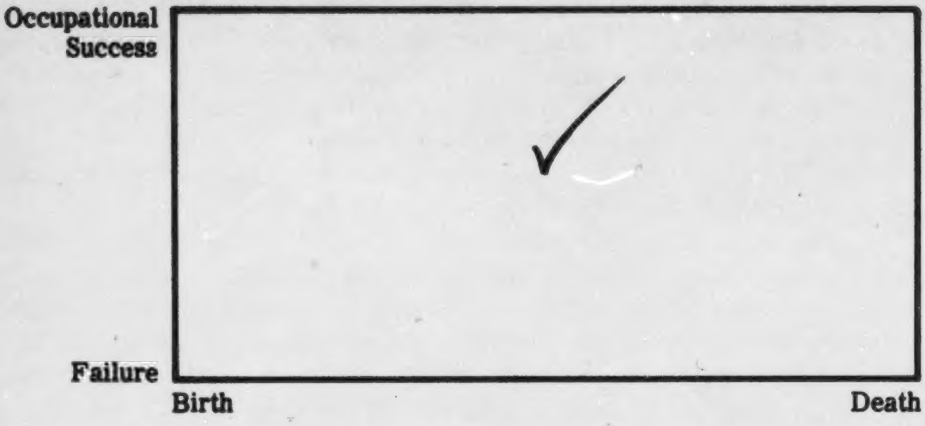
GENERAL DESCRIPTION: The life line exercise encourages the life planning participant to examine the broad directions of her past, present and future life from one or more perspectives related to her feelings or achievements (see Exercise Thirteen for a modified life line that emphasizes levels of stress and major life or career transitions). The participant graphically represents the directions of her life on a line which is drawn across a piece of paper. This line might be straight, jagged or curved depending on the perspective being studied and the life pattern of the person doing the exercise.

This exercise, like the life shield exercise, is valuable as an introductory experience in a life planning workshop. It is non-threatening and can thus serve as an "ice-breaker"; it does, however, generate important insights. Like the shield exercise, the life line provides a comprehensive perspective on one's past, present and future life experiences and in this way orients the participant to several of the important principles of life planning. In most instances, a choice should be made between the shield and life line exercises. Both should not be used together unless the workshop is at least of two days in length.

INSTRUCTIONS FOR USE:

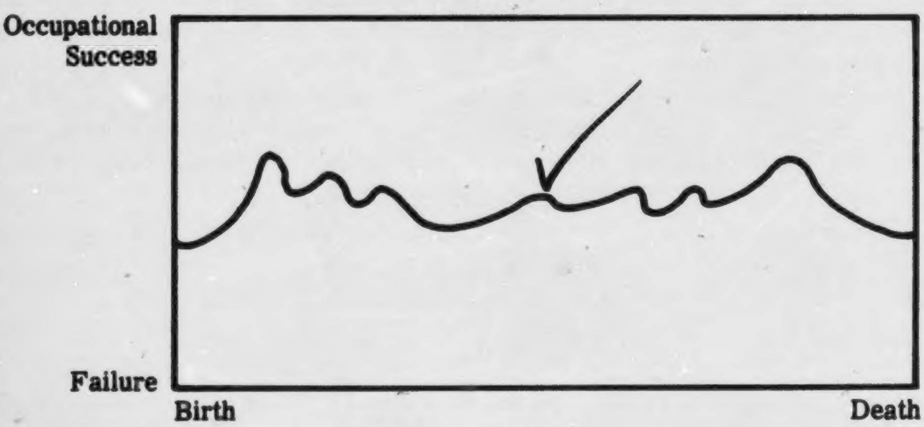
1. A piece of paper and a pencil or pen are distributed to each participant; usually the paper is letter size, but sometimes it is interesting to use long, narrow strips of paper from a print calculator or adding machine. An alternate approach would be to distribute and complete the life life form which follows these instructions.
2. The participants are instructed to imagine that their piece of paper represents their life space. The left edge of the page (or some point on the left hand side of the page) represents their birth; the right edge of the page (or some point on the right side of the page) represents their death. The vertical dimension of the page represents any one of a number of aspects of their lives. The leader may wish to emphasize one dimension but should be certain to suggest others. Following is a list of dimensions from which the leader might choose:
    a. The relative success or failure of one's life in relation to specific life goals.
    b. One's general mood: optimism-pessimism, happy-sad, feeling good-bad about oneself.
    c. The relative success or failure of one's relationship with significant other people in one's life (parents, siblings, spouse, friends, children).
    d. The level of achievement in one's work or preparation for work (especially one's level of achievement as a college teacher).

3. Each participant is instructed to locate herself on the page by placing a check mark or "x" at the point which most accurately portrays her situation in relationship to both birth and death (left to right) and the second life dimension (top to bottom). A person, for example, who perceives herself to be at about the middle of her life (regardless of her actual age) will wish to locate her check mark near the middle of the page (left to right). If she is portraying her level of occupational success on the vertical dimension, then the check mark will be placed toward the top of the page if she believes that she is currently quite successful. Her life line, at this point might look like this:



4. The workshop participants are now instructed to draw a line from birth to death which portrays their life situation at any point in time with reference to the second life dimension. This "life line" will pass through the check mark and will vary radically from participant to participant in level of detail.

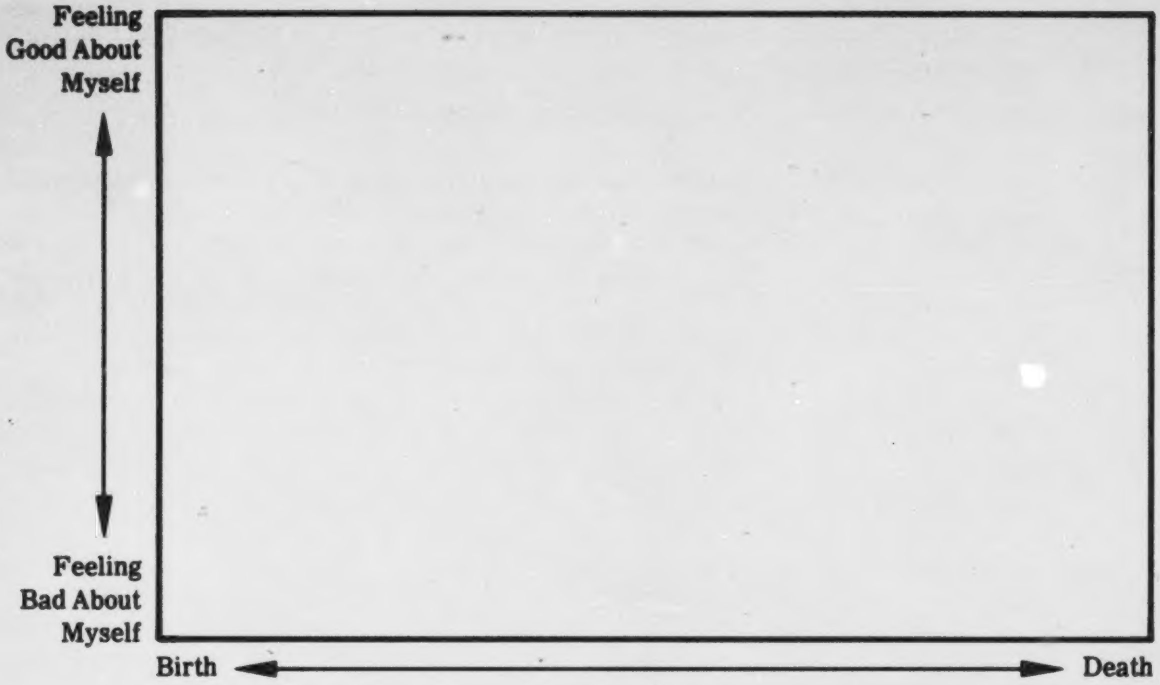
The woman who is exploring her level of occupational success at various points in her life may have identified several peaks and valleys in her past, including high and low points in her career as a student in preparation for an occupation. She also might anticipate that her career in the near future will tend to be successful, with one or two temporary setbacks, but that the long term prospects for her career are not particularly bright. Her life line might look like this:



5. After participants have finished the life line, they should meet with one or two others to discuss the experience. They should be encouraged to ask probing questions that will help clarify their images of the past and expectations concerning the future. Participants will also want to reflect on the implications of this life line for important life decisions that are currently facing them. The woman who is interested in occupational success, for example, might want to reexamine her current career choices, given her anticipation of a long-term decline in her level of success.

6. Finally, the leader might wish to gather the entire group together in order to discuss general themes and learnings that have been generated by the exercise. It is often desirable to post all of the life lines on the wall, though, in some instances, they might be too personal for participants to share them freely. The hesitancies of participants should be respected.

LIFE LINE



Instructions: The rectangular space that is located above these instructions represents your life from birth to death. It also represents your life in terms of the extent to which you feel good or bad about yourself as a result of relative success in your occupation, your relationship with significant other people in your life, your sense of personal achievement and so forth.

Please begin this exercise by placing a check mark (✓) at the place in the rectangle which represents your current position in relationship to your own birth and death and feelings about yourself. If you feel closer to your birth than your death then place your check mark toward the left side of the page. If you view yourself as being closer to your death, then place your check mark toward the right. Similarly, to the extent that you feel good about yourself at the present time, place the mark toward the top of the page. To the extent that you do not feel good about yourself, place the check mark lower.

Now, please draw a line from your birth to your death which reflects changes in the way you have felt about yourself at various points in your past and the way in which you expect to feel about yourself at various points in the future. This line might be either straight or curved. It might move up and down many times during your life. Please provide as much detail as you can about your past and future life. The line should pass through the check mark at the present time in your life.

EXERCISE NUMBER THIRTEEN

TITLE: Transitions

SOURCE: William H. Bergquist, based in part on theories and exercises developed by Charles N. Seashore and on the work of Thomas Holmes and Richard Rahe

GENERAL DESCRIPTION: The focus of this exercise is on the transitions that we all experience in our lives. Participants are asked to reflect on current changes in their lives, to explore past and future transitions and to consider the ways in which these transitions are managed — successfully or unsuccessfully.

INSTRUCTIONS FOR USE:

1. The leader should begin by briefly discussing the concept of transitions. In a study of the effects which various human relations training programs have had on organizations, Charles Seashore found that participants, whether individuals or organizations, are unlikely to alter the directions in which they are currently moving simply as a result of the training. The program can, however, enable them to manage more effectively the rate of change; major transitions in life can thus be either accelerated or decelerated. Seashore concluded that the effective management of transitions is a valuable skill, especially in a world that seems to be changing at an increasingly rapid rate.

   The work of Thomas H. Holmes and Richard H. Rahe also seems relevant here. In a 1967 study these two physicians found that specific changes or life transitions are directly correlated with the occurence of physical illness and emotional disturbance. The greater the number and magnitude of major life changes in a one year period, the more likely it is that physical and emotional problems will occur during the subsequent year. The effective management of transitions is something we can work on and vitally affects our lives, both physically and emotionally.
2. Each participant should be administered the Life-Change Scale that accompanies this exercise. After each participant has finished the scale and has obtained his own life-change score, the exercise leader should conduct a frequency count, asking each participant to indicate if his score is less than 100, between 100 and 199, 200 and 299, 300 and 399, or 400 or more. Each participant will in this way obtain a sense of the relative magnitude of his own scale score.

   In general, a score of 200 or more reflects a high level of transitions, though among faculty and college administrators scores of 200 are rather common. A score of 300 or more indicates that the respondent has experienced exceptional life transitions during the past year and might want to give serious consideration to the physical and emotional costs of these transitions. A score of less than 100 can reflect either contentment or a protected situation.
3. Participants are now asked to discuss their scores with two or three others. They can either freely choose their discussion partners or meet with other participants who have obtained similar scores. Each group should discuss some or all of the following questions:
   a. Does your stress score, relative to the score of other participants, surprise you? Does it seem accurate? Too high? Too low?
   b. Have there been any other important transitions in your life this past year that were not included on this list? What score would you give these changes for yourself?

   c. Relative to the assigned scores, which of the transitions do you think have been most difficult for you? Which have been easiest? Why?
   d. If you were to relive this past year, which of these transitions would you like to avoid? Which transitions would you like to have experienced which did not occur?
   e. Some of the transitions on the original list are generally quite positive for most people. Which of the transitions that have occurred for you this past year have been most positive? Which have been most negative? Have both types of transitions been stressful for you? Which type was most stressful?

4. The participants are instructed to place their current transitions score on the Transition-Line form which accompanies this exercise. They can record either the score they obtained from the scale or an estimated score if the scale score seems inaccurate. Each participant's current stress score is to be recorded at the appropriate point of intersection between their current age (horizontal axis) and their life-change score (vertical axis).

   The participants are then asked to plot probable transitions scores for their past and future. Each participant should begin by identifying those points in his past when major transitions occurred, then those points when life was particularly stable. Similarly, the participant should be encouraged to identify probable time periods in the future when major transitions are likely to occur and when relative stability will prevail. Each participant then draws a line from birth to death that connects these points, perhaps portraying other, less significant periods of transition and stability as well.

5. Participants are now encouraged to discuss in small groups the ways in which they have handled or hope to handle major life transitions:
   a. Have the transitions tended to be too fast or too slow? Why?
   b. Have certain types of events tended to precede or even precipitate major transitions?
   c. What have been the typical consequences of major life transitions? Immediate impact? Impact after one year? Physical illness? Health? Depression? Exhilaration? New relationships? The termination of old relationships?
   d. Have you consistently and consciously taken any specific actions to make these transitions more satisfying? What actions?

Either before or during this discussion, the leader may wish to review briefly several of the different ways in which people manage transitions and might ask the participants for their own ideas about the most effective ways to manage these changes. The handout on managing transitions (Handout Number Five) might well be distributed at this point.

LIFE-CHANGE SCALE

Name:
Date:

Instructions:

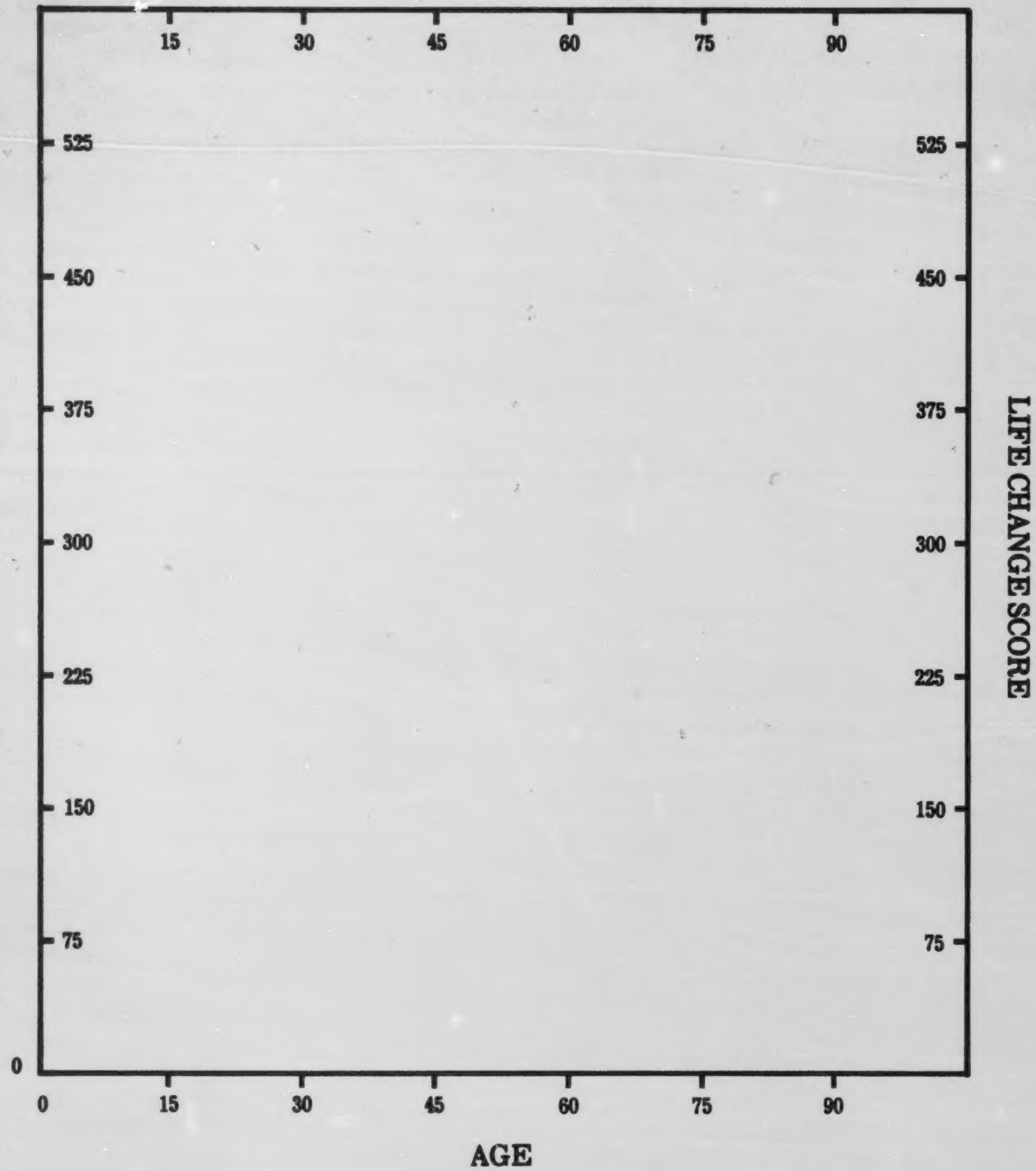
Each of the events listed below represent a significant change or transition in the lives of most people. Each change also has a certain amount of stress associated with it, regardless of whether the change is positive or negative. Please examine each of the changes that have been listed below to determine if this change has occurred in your life *during the past twelve months.* If the change has occurred then record the stress score that is associated with the change in the space located to the right of the event. After you have examined the entire list, add up all the stress scores that you have recorded in the right hand column. Record this total at the bottom of the score sheet. Further instructions will then be provided.

Life Event	Stress Score	Your Score
1. Death of a spouse	100	___
2. Divorce	73	___
3. Marital separation	65	___
4. Jail term	63	___
5. Death of close family member	63	___
6. Personal injury or illness	53	___
7. Marriage	50	___
8. Fired at work	47	___
9. Marital reconciliation	45	___
10. Retirement	45	___
11. Change in health of family member	44	___
12. Pregnancy	40	___
13. Sex difficulties	39	___
14. Gain of new family member	39	___
15. Business readjustment	39	___
16. Change in financial state	38	___
17. Death of close friend	37	___
18. Change to different line of work	36	___
19. Change in number of arguments with spouse	35	___
20. Mortgage over $10,000	31	___
21. Foreclosure of mortgage or loan	30	___
22. Change in responsibilities at work	29	___
23. Son or daughter leaving home	29	___
24. Trouble with in-laws	29	___
25. Outstanding personal achievement	28	___
26. Wife beginning or stopping work	26	___
27. Beginning or ending school	26	___
28. Change in living conditions	25	___
29. Revision of personal habits	24	___
30. Trouble with boss	23	___
31. Change in work hours or conditions	20	___
32. Change in residence	20	___
33. Change in schools	20	___
34. Change in recreation	19	___
35. Change in church activities	19	___
36. Change in social activities	18	___
37. Mortgage or loan less than $10,000	17	___
38. Change in sleeping habits	16	___
39. Change in number of family get-togethers	15	___
40 Change in eating habits	15	___
41. Vacation	13	___
42. Christmas	12	___
43. Minor violations of the law	11	___

TOTAL SCORE_____

SOURCE: Richard H. Rahe, Joseph D. McKean, Jr. and Ranson J. Arthur, "A Longitudinal Study of Life-Change and Illness Patterns," *Journal of Psychosomatic Research,* 10 (1967), 355-366; and Thomas H. Holmes and Richard H. Rahe, "The Social Readjustment Rating Scale," *Journal of Psychosomatic Research,* 11 (1967), 213-218.

TRANSITION LINE



HANDOUT NUMBER FIVE

TITLE: Some Strategies for Managing Major Life Transitions

SOURCE: William H. Bergquist, based in large part on theories presented by Harold Hook (Main Event Management)

GENERAL DESCRIPTION: All of us, every day, are going through transitions, although most of them are so small and insignificant as to be hardly noticeable. Yet because minor transitions are so common, more significant ones have a way of arriving unexpectedly and unprepared for. Once the concept of transitions becomes a routine part of our thinking, however, these changes can be more easily identified and handled. "Some Strategies for Managing Major Life Transitions" suggests a number of ways individuals have gone about dealing with the stress that frequently accompanies these changes.

INSTRUCTIONS FOR USE: This handout is designed for use with Exercise Number Thirteen, "Transitions," and should be distributed at the appropriate point; it is also suitable for use with Exercise Number Twelve, "Life Line." "Some Strategies for Managing Major Life Transitions" can, of course, be used simply as a handout without any accompanying exercise, although its impact in such a situation will be substantially less.

SOME STRATEGIES FOR MANAGING MAJOR LIFE TRANSITIONS

One must acknowledge first of all that transitions are stressful. Furthermore, positive transitions — marriage, promotion, an award — may be as stressful as negative ones. A U-shaped curve seems to accompany most major life transitions. At first, after the transition has been initiated, the mood of the person or organization that is undergoing the transition will tend to turn from optimism to pessimism; excitement may give way to disillusionment. Production will fall off until the bugs are worked out in the system; the change will proceed slower than expected; advocates of the change will discover negative consequences or side effects that were not anticipated. Only at a later point, after the person or organization has traveled through this "valley of despair," will transitions begin to reap some benefits — if they have been successful. The planner of a personal or organizational transition must anticipate this period of stress and introduce ways to reduce its negative impact. Perhaps the simple anticipation of stress is itself one such way; several other more specific suggestions follow.

1. *Ceremonies:* Every culture creates specific events that signal major life transitions for a member of the group. For example, in most societies, entrance into puberty, marriage, birth of a child, divorce and the death of a loved one are made the focus of a ceremony. Similarly, many organizations acknowledge the entry of new people into the organization by means of initiations, orientation programs, social gatherings and so forth. Most organizations also have some type of a ceremony to acknowledge the exit of individuals from the organization.

   Ceremony serves two important functions in helping people manage transitions. First, it helps anticipate the stress that is associated with the transition. The ceremony serves as a signal, formally telling us that some difficult times are immediately ahead. Second, the ceremony indicates that other people care about this transition and are available for support in this endeavor.

   In a society which seems to be increasingly less ceremonial, we must plan for our own ceremonies and provide ceremonies for significant other people; remember that the marriage ceremony may be more important to the transitional processes of the parents than to those of the newlyweds. Perhaps the practice of some couples, who periodically renew and update their marriage vows as a means of acknowledging the changes that have continued to occur in their relationship, is as important for them as the initial ceremony.

2. *Support Group:* Most people who successfully manage a major life transition describe the critical role played by several people who served them in a variety of functions: the *nurturer* helped them feel better or stronger; the *friend* empathized with their predicament and often provided a humorous perspective; the *expert* provided important information to help them implement, accelerate or slow down a transition; the *clarifier* helped them better understand the current and probable future nature of the transition; the *client,* someone whom they were currently serving, was willing to let them know what the consequences would be if certain decisions were made about the transition; and the *challenger* forced them to reexamine their actions, values or expectations. Usually, people are more in need of the nurturer if the transition is particularly rapid and in need of the challenger if the transition is too slow.

   A support group consists of people who fill one or more of these roles. Members of such a group need not know each other; they may never even have been in the same room together. Yet they all have one thing in common: they all know and in some way are willing to provide support to the individual going through the transition. It is the responsibility of that individual to integrate the different perspectives of the members of his group and to be sure he is not asking only one or two people to fill all of these roles.

3. *Incremental Change:* Change should be planned from a long-term, wide-range perspective, rather than from a short-range or piecemeal point of view. In planning for change, however, it is often essential that the desired change be broken up into small, manageable units that have short-term and rather modest goals. A series of small change curves is usually preferable to a single large one. Furthermore, if a series of small change projects are identified, it is possible to initiate a second project when the first encounters significant resistance. Small projects can also be sequenced in a way that will meet current needs and concerns, while also being responsive over the long run to more basic and far reaching problems.

4. *Diffusion of Interests and Activities:* If any one change absorbs all or most of a person's or organization's attention, then this transition is likely to be stressful, for the person or organization has no other interest or activity that can provide stability or variety. In preparation for a transition, one should ensure that other areas of interest in one's life do not get set aside during the change process. Given the tendency of many people who are experiencing stressful transitions to focus intensely on the change, it is essential that other roles, goals and activities be reinforced as salient features of the person's or organization's life.

EXERCISE NUMBER FOURTEEN

TITLE: **Images of the Future**

SOURCE: William H. Bergquist and Nancy Barber, derived in part from life planning procedures first used by Herbert Shephard.

GENERAL DESCRIPTION: These exercises enable participants to explore their own assumptions about the future and to relate these assumptions to their current life plans. The participants are asked to examine their assumptions about typical activities, special events and physical changes in their personal futures. In some instances, they are also asked to examine the relationship between an image of what their own personal future will be and their images of what the future will be like in their town, region, country, society or world.

INSTRUCTIONS FOR USE: *Living Through a Day in the Future:* Distribute to each participant several pieces of blank paper. Instruct them to find a comfortable spot where they can be alone to reflect on the future and do some writing. At this point the leader should introduce the following instructions:

I would like each of you to imagine that you are five years older than you are today. The year is_____(the current year plus five). Imagine that you have just awakened and are about to live through a *typical day* in your life. This is a day that will soon slip away in your memory, for nothing exceptional has happened. Can you now live through this day with as much detail as possible. Write down a description of this day — your activities, people with whom you have had contact (be aware of those with whom you do not have contact — what happened to them?), decisions you have made and feelings experienced. Do you have any questions?

After the participants have completed this exercise (usually in ten to twenty minutes), give them the following instructions:

I would now like each of you to imagine that you are ten years older than today. The year is _____(current year plus ten). Imagine once again that you have just awakened. This day will differ radically, however, from the one you just lived through, for this will be a very *special day* in your life — a red letter day, a peak experience, a day that you will remember for many years to come. Please live through this day with as much detail as you can. Once again, record your impressions on a piece of paper.

After the participants have finished this second description or scenario, ask them to find one or two other participants with whom they would like to share their two experiences. Ask them to help each other explore the central features of each scenario and clarify the implications of these two images for future plans. It may be useful to remind them that these images have little to do with the future — which is unknown to us — but rather have to do more with the present: what we value, what we want, what we expect.

Some of the following questions can help stimulate a meaningful discussion about these future scenarios but should not be introduced until after the individual discussions are well underway:

1. What made your special day "special?" How does it differ from your "typical" day?
2. Was your special day filled with people or were you essentially alone? What does this mean to you?
3. Was your special day related primarily to your work, your family or yourself?

4. Did you like one or both of these days in the future? Would you like either day to be different?
5. Do you feel that you have any control over the occurrence of either of these days? If you do have control, how would you like these days to be different? What can you do in the next two weeks to influence the nature of these two days? What can you do during the next year?
6. Did either of these two days in the future surprise you? Were any significant people in your current life absent from either scenario? Why?
7. Would either of these images of the future change radically if you were to do this exercise next week? Why? Do either of these images represent a long-term, enduring "dream" which you have had about your future?

The leader may wish to conclude this exercise by bringing the entire group back together for several minutes to share insights and common themes. The group might also reflect for a few minutes on the relationship between their personal images of the future and the expectations that they might have about future problems in our society (ecological, political, economic). In our personal scenarios, do we expect our world and country to remain much as it now is, or have we anticipated major changes in our social and physical environment? How would major world crises of various kinds and magnitude influence our typical and special days in the future?

Several variations can be introduced into this exercise depending on the interest and openness of the participants. First, the participants can be invited to sit back in their chairs or lie down on the floor and close their eyes. Then, after they have relaxed and begun to focus on internal sensations like breathing, the leader can introduce the typical and special day exercises as fantasies. The participants are to imagine that they are waking up on a typical day and so forth. After the instructions have been given, each participant should be left alone to fantasize for three to five minutes; bring the fantasy to a close when several of the participants begin to exhibit restless behavior. At this point, the participants can either write down the substance of their fantasies or can immediately begin to discuss the experience with other participants. The two fantasies ("typical day" and "special day") can either be done together or can be separated by a period of writing and/or discussion. If the participants are using fantasy for the first time, the two usually should be separated, for the very act of talking about a fantasy will usually enable participants to feel more comfortable about doing a second fantasy.

Another variation involves an expansion on the last, optional section of the exercise — the relationship between personal and societal futures. After the participants have thoroughly discussed their own personal images of the future, they should be invited to identify their images of what our society will look like in the near future. The leader can ask each participant to fantasize freely about the world as it will exist in ten years, then write down the essential features of this scenario — especially those characteristics which will differ significantly from the present.

On the other hand, the leader can ask each participant to address a specific set of topics about a specific time in the future, say ten years from today. The group might be asked to focus on dominant political structures and processes, economic conditions, moral attitudes and religious beliefs, family structures and child-rearing practices, racial and sexual discrimination, or the state of law and order in this future time period. The participants should spend several minutes sharing their scenarios with one or two other participants, then compare these scenarios with the two personal ones they had previously written. A general discussion about discrepancies between personal and societal images of the future should follow.

Mirror of the Future: This exercise can serve as a very effective prelude to "Living Through a Day in the Future," provided the participants feel comfortable about engaging in a fantasy that will require some physical movement. Each participant is asked to find a place in the room where he can comfortably stand and easily move several steps forward or backward without bumping into someone. Each participant is now instructed to assume a comfortable and secure stance, then close his eyes. The leader now provides the following instructions (each series of dots represents a pause in the presentation of the instructions):

> Imagine that you are standing before a large mirror in which you can see your entire body . . . as you look into the mirror you see what you now look like . . . your face . . . torso . . . arms . . . legs . . . hair . . . even the way you stand. . . . Now, please engage with me in a brief fantasy. Imagine that the mirror in front of you is magical. You can step through the mirror, and when you do, you will be five years older than you are today . . . I would now like you to take one step forward so that you can walk through the mirror . . . you are now five years older than you were before walking through the mirror. . . .
>
> In front of you is a second mirror . . . look at yourself in this mirror, as you will look five years from today . . . your body . . . face . . . arms . . . hands . . . legs . . . hair . . . stance. . . . Try to see with as much detail as you can. . . . Now imagine that this second mirror is also magical. When you step through this mirror, you will be ten years older . . . a total of fifteen years older than when you began this journey. The year will be_____(present year plus fifteen). . . . Please step through this second mirror . . . you are now looking at yourself in a third mirror . . . what do you look like? . . . In what ways do you look older? . . . In what ways do you feel older? . . . Are you aware of any of your surroundings in the year _____? Are there other people with you? . . . Are you involved in any particular activities? . . .
>
> I would now like you to imagine that you are standing in a long, dark tunnel in which are located many of these magical mirrors. . . . You can travel either forward in time or back in time, and at any point in time you can see yourself in a mirror. . . . Can you now begin to move forward or back in time . . . pausing at a time period that particularly interests you. . . . What do you look like, how do you feel, what is the setting like? (long pause — one to two minutes). Now please begin to come slowly to the present time. . . . In a minute I am going to ask you to open your eyes again. But before doing so, I would like you to reflect briefly on your reactions to this exercise. What was your journey like? . . . Were there any surprises? . . . What did your body feel like as you grew older? . . . Did you like this feeling? . . . You may now open your eyes. . . . I would like you to find one or two other people with whom you would like to discuss this experience. . . . Please do so now.

This exercise should be followed by a ten to twenty minute discussion by the participants in small groups. The leader can then either bring the entire group back together for a brief discussion or conclude the exercise.

EXERCISE NUMBER FIFTEEN

TITLE: Perspectives on Life

SOURCE: Standard life planning exercise, originally designed by Herbert Shephard

GENERAL DESCRIPTION: Participants in life planning workshops should be provided with an opportunity to explore in written form a general perspective on their lives, from birth to death. Though the life line and shield exercises encourage this exploration, "Perspectives on Life" specifically focuses on these broad issues. The participant is asked to write an autobiography of her life, describing not only the major themes of her past life, but also the anticipated themes of her remaining years. As a variant, participants may be asked to write their own obituaries or epitaphs.

INSTRUCTIONS FOR USE:

1. Each participant is given a pencil or pen and several sheets of paper, then one of the following sets of instructions:
    a. *Autobiography:* Imagine that near the end of your life you have decided to write a brief autobiography that covers the period from your birth until that time. Please write this autobiography on the basis of your *expectations* about what your future as well as past life will be. (Alternative: Please write this autobiography on the basis of your *hopes* for the future as well as your memories of the past.)
    b. *Obituary:* Imagine that immediately after your death an obituary is written about your life. Please write this obituary as you *would like* it to be written. (Alternative: Please write this obituary as you think it *probably will* be written.)
    c. *Epitaph:* Imagine that near the end of your life you are asked to write your own epitaph — a phrase or sentence which conveys a major theme about your life. What would you like this epitaph to be?
2. After the participants have been given an adequate period of time to work on this exercise (the Autobiography should take forty to sixty minutes; the Obituary, thirty to forty minutes; the Epitaph, fifteen to twenty minutes), they should be encouraged to meet in three or four person groups to share their autobiographies, obituaries or epitaphs. The participants might wish to discuss the implications of their written material by responding to several questions:
    a. What dominant values seem to be expressed?
    b. Does your autobiography (obituary, epitaph) tend to focus on career concerns, interpersonal relationships or your internal life (emotions, meaning-of-life, religion)?
    c. Does the rest of your life seem to be quite different from your life to date, or is there a great deal of continuity?
    d. What criteria did you use to select activities from the past for the autobiography/obituary?
    e. Is this autobiography (obituary, epitaph) one which you would like to share with many other people, or is it a highly personal statement that would not be easy to share?

EXERCISE NUMBER SIXTEEN

TITLE: Life Inventory

SOURCE: William H. Bergquist and Nancy Barber, derived from various sources

GENERAL DESCRIPTION: Many life planning workshops contain a segment during which participants are asked to answer a series of questions about their current, past or future lives. This exercise may overlap with the shield exercise, though a different set of items can be included in the inventory. In general, the life inventory should be introduced near the middle of a life planning workshop. It helps a participant sum up a variety of issues that will lead him toward plans for a specific project. The inventory usually does not provide enough focus nor is it inherently of sufficient interest to use as an introductory experience in a life planning workshop.

INSTRUCTIONS FOR USE: A wide range of questions can be posed in the inventory exercise; the potential source of questions from which one can draw is virtually inexhaustible. Questions should be chosen, however, to reflect on the specific, though diverse, concerns of the workshop participants. The questions should also build in a logical manner on the previous exercises which have been introduced in the workshop.

The life inventory can be conducted in several different ways. The participants can be handed a list of questions like those on the "Life Inventory" handout that accompanies this exercise and asked to spend an hour or so writing out their answers. The participants are then asked to discuss their responses with several other participants. An alternative would be to have the participants meet in small groups. The first question is read to the groups, and the participants discuss their responses to this question for several minutes. A second question is then read, and discussion begins on this second question. This process continues until all of the questions have been discussed.

A third alternative blends the first two. The participants are handed a complete list of questions and are then instructed to meet with several other participants to discuss the questions and their responses to them. Usually at the end of this exercise, the participants assemble as a total group to share some of their major insights and common themes.

Following are several questions or statements that might be included in a life inventory:

Inventory List One:

1. Name some peak experiences you are presently encountering. Identify some events which really matter to you right now in your life.
2. What are some things you do well?
3. What are some things you do poorly? What are some things you do poorly which you don't want to do but, for some reason or other, you need to do?
4. What are some things you would like to stop?
5. What are some things you would like to learn to do well?
6. What are some peak experiences you would like to have?
7. What are some major dilemmas, binds or conflicts in your life right now?
8. What are some things you would like to start doing now?

Inventory List Two:

1. How do you feel about making a great deal of money?
2. How do you feel about growing old?
3. What important roles do you place yourself in?
4. What important roles do other people place you in?
5. When other people first meet you, what do they tend to do? How do they tend to react to you at first?
6. When other people get to know you, what do they tend to do? What are their general impressions of you?
7. Which feelings do you have the greatest difficulty expressing: love, anger, frustration, indifference, caring or liking.
8. What would you most like to change in your relationships with other people?

Inventory List Three:

1. What are things about yourself as a teacher that you would most like to keep?
2. What are things about yourself as a teacher that you would most like to get rid of?
3. What would happen if you received twice as much money for doing what you are now doing?
4. What would happen if you received half as much money for doing what you are now doing?
5. Under what conditions would you cease to be a college teacher?
6. What is the hardest kind of feedback you get from students? Colleagues? People you work for?
7. What is the most gratifying kind of feedback you get from students? Colleagues? People you work for?
8. What are some of the things you would like to start doing as a college teacher?

Inventory List Four:

1. Where did your most important learnings take place during this past year? Were you alone? Was your learning direct or vicarious (something you read about or observed)? Were you with one other person? Were you in a small group? Were you in a formal educational setting?
2. If during the coming year you were entitled to one guaranteed success, which of the following would you choose to do: (a) write a successful novel, (b) become an extremely effective teacher, (c) serve as president of the United States, (d) serve as president of a major college or university, (e) gain great personal insight or (f) conduct a major and significant research project?
3. What would you least like to be: (a) poor, (b) old, (c) sick, (d) alone or (e) overworked?
4. Identify ten words or phrases which best describe you as you now are. Identify ten additional words or phrases which best describe the way you would like to be. Rank both sets of words according to importance.

LIFE INVENTORY

1. **Name some peak experience you are presently encountering. What has been the most important learning you have gained from this experience?**

2. **What are five things that you do very well? What are five things that you do poorly? What are five things you would like to stop doing?**

3. **What is one peak experience you would like to have? What steps would you have to take for this peak experience to occur?**

4. **How do you feel about making a great deal of money? How do you feel about growing old?**

5. **What would you least like to be: (a) poor, (b) old, (c) sick, (d) alone or (e) overworked? Why?**

6. **What are some things you would like to start doing now?**

EXERCISE NUMBER SEVENTEEN

TITLE: Values Assessment

SOURCE: William H. Bergquist and Nancy Barber, based in part on the theories and practices of Carl Rogers and Sidney Simon

GENERAL DESCRIPTION: As we have noted in the introduction to this chapter, the process of values clarification discussed in Chapter Eleven directly relates to life planning. At the point in a life planning workshop when the participants have generated a sufficient amount of information about their current, past and future life situations (Exercises Eleven through Sixteen) and are about to move toward the generation of one or more proposals or projects (Exercise Eighteen), they should often be presented with a task that will help them systematically and directly assess the values that have been identified in the previous exercises or are known by the participants to be very important in their lives. This assessment should enable them to establish the priority of specific values or at least to determine their relative strength.

One of the two values assessment procedures that we will describe directs participants to identify and establish priorities for a list of self-generated values which currently are of importance to them. Values are also to be identified which once were, but no longer are, of importance to each participant. In addition, values are to be identified which are not now imporant but probably will be at some point in the future. The second procedure asks participants to rate the relative importance of a list of value statements. Regardless of which procedure is used, by the end of the exercise participants should be in a position to focus on specific values, should be able to translate these values into specific target or goal statements and should be able to begin planning for specific projects that are directly related to these targets or goals (see the introduction to this chapter and Exercise Eighteen).

INSTRUCTIONS FOR USE: First, each participant should be given a set of forty three by five inch index cards or slips of paper and a pen or pencil. On twenty of these cards they should write the name of something that currently is of significant value to them (e.g., "my children," "security," "a major publication in my discipline"). Each participant should next generate a list of ten values on ten other cards that "used to be highly important in my life but no longer are." Someone, for instance, might have once thought that the achievement of professional recognition was important but now no longer finds this to be the case. Other participants might identify values from their childhood which no longer are salient — for example, certain prized possessions or peer relationships.

Third, each participant should list on the remaining ten cards ten things that are not currently of value but which probably will be in the future. Preferably, these values will relate to changes in the near future, though they might relate to changes that are anticipated after retirement or after the children have left home. One participant might believe that security will be of increasing importance. Another might identify the values of reflection and introspection as significant features of the future but not of the present. Someone else might conclude that effectiveness in an academic administrative position will soon be important.

Fourth, each participant is to review the twenty current values and order these values from highest to lowest priority. Some participants will not be able to order all twenty cards but will at least be able to cluster the cards into four or five groups of varying significance. One interesting option at this point is to instruct the participants to throw out the five values that are of lowest priority. They are then given five new cards and are asked to identify five new value statements that are of greater importance than the five that were thrown out.

The final stage involves discussion of all forty value statements. The participants should meet in pairs to talk about the selection of past, present and future values and the ordering of present day values. This discussion period should last at least one half hour.

Most participants will encounter some difficulties while generating one or more of these three lists of values. Some participants will find it difficult to identify twenty values that are currently of significance. The initial five to ten values may be easy to identify, but the later ones may come more slowly — yet these latter values are often of major importance when the cards are ordered. Participants often gain important insights by examining the relationship between their priorities and the original order in which the values were identified. Other participants will experience difficulties in generating the list of past values. They will identify a value that seemingly has been abandoned (for example, parental recognition), yet after further reflection will realize that this value is still important. They will, therefore, have to determine if this value "from the past" is more important than one or more of the twenty current values that have already been identified.

In a similar manner, some participants will find it difficult to identify future values. Initially, values may be identified which might be of future importance but which are not now of significance. After some reflection, however, participants may realize that expectations concerning the future make these values relevant in the present. Expectations concerning a future job, for instance, may be reflected in the current concerns of a participant, who will then be faced with determining the importance of this particular concern when it is set in relationship to the twenty current values already identified.

Each of these concerns and difficulties should be addressed during the discussion period. Many participants find their discussions about the problems encountered in doing this exercise more important than their discussions about the values which were identified.

A second approach to values assessment may be more briefly described. Each participant is given the Values Assessment Scale which accompanies this exercise and is instructed to rate each value statement according to its relative importance in the participant's current life. After the scale has been completed, the participants are encouraged to talk about their responses with one or two others. There are of course no "right" answers, and there is no scoring system. Rather the scale should serve as a catalyst for reflection and discussion about personal values. This second procedure is preferable to the first if the workshop is of short duration or if the participants would feel more comfortable completing a task that is somewhat more structured than the first.

VALUES ASSESSMENT SCALE

Instructions: Please review each of the value statements listed below and determine the extent to which each statement represents a value that is of relative importance to you in your current life. Place an "X" at the appropriate point on the scale accompanying each statement.

	Relatively Unimportant	Moderately Important	Highly Important
1. Clarifying my career goals.			
2. Achieving a satisfying sexual life.			
3. Being open in my emotional expressiveness.			
4. Doing a job that makes maximum use of my skills.			
5. Achieving academic excellence.			
6. Acting on my social responsibilities (poverty, ecology, racism, etc.)			
7. Becoming increasingly sensitive to the needs of others.			
8. Achieving financial security.			
9. Retaining or achieving physical fitness and health.			
10. Receiving the respect of significant other people in my life.			
11. Achieving a lasting and satisfying relationship with my spouse.			
12. Working with people whom I like and respect.			
13. Acquiring and retaining a broad, liberal knowledge.			
14. Establishing or retaining a strong, positive relationship with my parents.			
15. Gaining the recognition of colleagues in my discipline.			

	Relatively Unimportant	Moderately Important	Highly Important
16. Serving as a warm and effective parent.			
17. Achieving economic prosperity.			
18. Finding time and resources to pursue an important hobby or avocation.			
19. Achieving personal happiness and serenity.			
20. Acquiring an increased understanding of self.			
21. Providing my children with a financially secure future.			
22. Maximizing my independence.			
23. Becoming as helpful to other people as possible.			
24. Being as honest as possible in my dealings with other people.			
25. Achieving significant social change in one or more institutions.			
26. Being creative and expressive in my work.			
27. Finding pleasure and insight in things of beauty.			
28. Achieving control over my life.			
29. Finding a secure and meaningful style of life.			
30. Providing service and witness to my church.			

EXERCISE NUMBER EIGHTEEN

TITLE: Building a Project

SOURCE: William H. Bergquist and Nancy Barber, based on standard life planning procedures first developed by Herbert Shephard and force field analysis procedures first developed by Kurt Lewin

GENERAL DESCRIPTION: If a life planning workshop is to have an immediate and tangible impact on the participants, it is usually appropriate to conclude with an exercise that enables them to produce plans for specific actions to be taken in the next week or two. A four step planning sequence is offered in this exercise. The first involves the identification and clarification of a specific, reachable goal. The second requires an analysis of current forces that act on the participant's life with reference to the specific goal that the participant has identified.

During the third step, participants are encouraged to plan a specific project that will move them toward the goal in a short period of time. The final step involves the formulation of action plans for the implementation of this project. Participants may contract with each other for assistance after the workshop, may ask others for immediate assistance in identifying external resources that could be of use in completing the project or may write a letter to themselves which will be sent out several months after the workshop.

The life planning workshop ends in this way, with a focus on specific actions and follow-up activities. This project building exercise enables the participants to integrate fully their learnings from the workshop into their daily lives.

INSTRUCTIONS FOR USE: Each participant should be provided with the self-explanatory handout entitled "Designing a Life Planning Project," which accompanies this exercise. The leader should encourage participants first to work alone on this exercise. After completing the force field analysis, each participant should join with two or three others to discuss their work up to this point. After their discussion, which usually takes thirty to sixty minutes, is completed, the participants should again be encouraged to work alone on plans for their project. Upon completion of these plans, each participant once again meets with two or three others, who should help each other clarify the project plans. This discussion, like the first, usually lasts from thirty to sixty minutes.

If any letters are written, they should be collected by the workshop leader and mailed at the designated time after the workshop. The correct mailing address should be obtained from each participant for the time when the letter is to be sent — not necessarily the participant's current address. Some method should be identified by the workshop leader to ensure that these letters are not forgotten or misplaced.

DESIGNING A LIFE PLANNING PROJECT

If you want this workshop to have tangible benefit on your immediate life, it is essential that the personal learnings and insights you have gained from this experience be translated into concrete and specific action plans. The following four steps will enable you to move toward this objective, while providing you with an opportunity to gain further insights about specific aspects of your current life.

1. Identification of a Specific Project Goal

As you sort through the various experiences and exercises of this workshop, are there one or two specific goals that clearly stand out as being of immediate importance to you? These should not be those intangible and usually unreachable goals (such as "becoming a more sensitive person" or "working hard on my teaching") that we all use either to beat ourselves with or to excuse inaction. Rather, these should be goals that can be reached through concrete and immediate action — the goals that are in our grasp if we do some specific planning in order to reach them.

Please focus on one of these reachable goals at this time. Ask yourself the following questions (writing your response in the space provided):

a. How would you describe this goal in a short phrase or sentence?

b. How would your current life be different if this goal were achieved?

c. What are some of the things that you would have to do in order to achieve this goal? (If nothing comes immediately to mind, then you might want to reconsider the goal — possibly selecting a different one or redefining your current goal).

d. What do you think would be the earliest, realistic date when this goal could be reached? When would be a date that is more comfortable for you, yet would not lead to procrastination? Are there any external pressures for this goal to be reached by a certain time? When?

e. Is there anyone besides yourself who will be vitally concerned about — even feel accountable for — your attainment of this goal? For what other people is the attainment of this goal important?

f. What are some of the criteria by which you could measure the accomplishment of this goal?

At this point, you have summarized your project goal in a word or phrase, have explored its implications and have begun to identify some of the activities that would be associated with its accomplishment. You have, in addition, identified several possible target dates for completion of the project, other people who have some investment in your attainment of this goal and several criteria for evaluation of the project's success.

2. Assessment of Current Life Forces As They Relate to The Project Goal

At this point you are ready to assess the extent and nature of various forces in your life as they impinge on the attainment of this goal. On the attached worksheet labeled "Personal Force Field Analysis" write down the phrase or sentence that summarizes your goal. Then, on the lower left-hand side of the worksheet list the *primary* forces that now aid you, or could aid you, in reaching the identified goal. In other words, list those forces (human, financial, physical) which would *ensure* that you reach the goal if there were no negative forces acting against its attainment. Try to assume a very positive attitude in filling out this side of the worksheet. Initially, list all forces that suggest themselves, even if they might also be negative ones.

In a similar manner, list the *primary* negative forces — ones that now hinder or would hinder attainment of your goal — on the right-hand side of the form. If these negative forces were the only ones in existence, you would never be able to attain this goal.

After you have completed both the positive and negative force list, please rate each on the basis of the following three questions:

a. How *important* is this force in helping or hindering movement toward the goal?
   1 — Highly Significant
   2 — Moderately Significant
   3 — Rather Insignificant

b. How *resilient* is this force to efforts at increasing or decreasing its impact, or changing its direction with reference to this goal?
   1 — Hard to Change
   2 — Moderately Resistant to Change
   3 — Easy to Change

c. How *clear* are you about the importance and resilience of this force? What evidence is there that it is a force? How clear are you about the nature and direction of this force?
   1 — Very Clear
   2 — Moderately Clear
   3 — Unclear

You should now discuss this force field analysis, as well as your responses to the goal questions, with two or three other participants in the workshop. The following general observations may be of use to you in this discussion:

a. Those forces that are positive, important, resistant to change and clear should serve as cornerstones. They should be at the center of any project that you plan.
b. Those forces that are negative and important, but resistant to change, should be the primary focus of any change efforts associated with your life planning project.
c. Those forces that are positive and important, but not resistant to change, should be secured and made more stable. Those forces that are unclear should be the focus of further exploration.
d. Those forces that are negative and important, as well as being highly resistant to change, should be isolated or avoided in formulating your plans.
e. Significant personal change rarely will take place simply by increasing the intensity or number of positive forces acting on a goal, for negative forces tend to increase in direct proportion to the increase in positive forces. In most instances, negative forces must be reduced as well as positive forces increased.

Use the following space to take notes while you are discussing your goal and force field analysis with your colleagues:

PERSONAL FORCE FIELD ANALYSIS

GOAL STATEMENT:

Forces Working FOR This Goal →				← Forces Working AGAINST This Goal			
Description of Force	RATINGS			Description of Force	RATINGS		
	Signif.	Resistance	Clarity		Signif.	Resistance	Clarity

FORCE FIELD ANALYSIS

Positive Forces (Cont.)				Negative Forces (Cont.)			
Description of Force	Rating			Description of Force	Rating		
	Signif.	Resistance	Clarity		Signif.	Resistance	Clarity

3. Formulating a Life Planning Project

At this point, you should have a fairly clear idea about what you want to accomplish (a goal statement) and what you will need to do in order to be successful. You should now begin to formulate a specific project that will lead you toward the goal in the period of time you have identified above. The project should be very specific and detailed. Generalities, vagueness and lack of specificity should be avoided. You are undoubtedly aware of various tricks that you play on yourself to ensure that you will not hold yourself accountable for the unsuccessful completion of a project. Try to be aware of these tricks and plan your project in such a way that they are avoided. You should also attempt to make full use of the force field analysis that you have just completed. This analysis can often yield many useful insights about resources that are available to you for change and stability in your life.

You will probably want to consider some of the following questions when formulating your plans for the project: (1) What steps need to be taken in order to begin the action? (2) Where is the best place to dig in? (3) What are the probable next steps? (4) How and when and by whom is it to be evaluated? In addition, you may want to review briefly some of your learnings about yourself that have occurred in this workshop to ensure that you are making full use of them in formulating the project.

4. Planning for Action

You are now at the final stage of the life planning process. You are facing the end of the workshop and the prospect of leaving with action plans rather than just promises. In order to ensure that this is the case, we suggest that you consider one or more of the following strategies:

a. *Sharing your plans with other participants:* at the very least, we suggest that you join with several of your colleagues to discuss your project. This discussion might help you clarify your plans, as well as provide you with additional ideas and encouragement. You will also have made a public commitment to the project. Such a commitment often serves as an incentive to complete the project.

b. *Contracting with other participants for assistance:* even after the workshop is completed, your colleagues can be of help to you. You might contract with someone to "check up on you" after several weeks to see if you have done what you said you would do. You might want to contract for the expertise of another participant, or for this participant's empathy and support if he has recently encountered or worked through a similar concern. Another participant might help you in a continuing role as clarifier or "good listener."

c. *Identification of external sources of assistance:* other participants at the workshop can be an immediate source of assistance to you through the knowledge they possess about relevant and valuable resources you might use in completing your project. Ask your colleagues about people, books and training programs that might be of use to you.

d. *Writing a letter to yourself:* this is a procedure that is borrowed directly from youth camp but it works very effectively even for (or especially for) adults. Identify some date in the future when you believe that your project should be completed or near completion (for example, six months from today). Write yourself a letter which will be mailed to you on this date by the workshop leader. You can, of course, say anything to yourself that you want. You may want to be brutally frank with yourself ("O.K., the six months are up — have you met those promises you made?"), or you may want to be a bit more supportive ("I am rather scared about the consequences of this project if it is successful. What has happened? Were my fears justified?") After you have written the letter, seal it in such a way that it cannot be read by others. Address the letter to yourself, at the address where you will be located at the time when the letter is to be sent to you. Hand the letter to the workshop leader, who will ensure that it is never read by anyone else. She will send the letter to you on the date you have indicated (write this date next to your address).

At this point in the workshop, your project should be firmly in your grasp. With a sincere effort on your part, the project should be completed and the goal reached. We wish you success in this venture.

FURTHER READINGS:

Richard Nelson Bolles' *What Color is Your Parachute?* (Berkeley, Calif.: Ten Speed Press, 1972) is an excellent source of information about personal planning processes. Bolles also offers a number of exercises that can be incorporated in life planning workshops. For the same reasons, Laura Archera Huxley's *You Are Not the Target* (No. Hollywood, Calif.: Wilshire Book Co., 1974) is recommended. Bolles focuses on career issues, while Huxley focuses on more personal issues. Descriptions of standard life planning practices can be found in the life planning exercise book that is published by the NTL Resources Corporation (Fairfax, Virginia) and in the second volume of the *Handbook of Structured Experiences for Human Relations Training*, which was written by J. William Pfeiffer and John E. Jones and published by University Associates Press (La Jolla, California) in 1970.

Following is a list of several books that relate to the life planning process: Warren Bennis and Phillip Slater, *The Temporary Society* (New York: Harper and Row, 1968); Ludwig Binswanger, *Being-In-The-World* (New York; Basic Books, 1963); Erik Erikson, "Identity and the Life Cycle," *Psychological Issues,* 1 (1959); Rollo May, *Love and Will* (New York: Norton Press, 1969); George Orwell, *Shooting an Elephant* (Harcourt, Brace and World, 1945); Fred Polak, *The Image of the Future* (San Francisco: Jossey-Bass, 1973); Carl Rogers, *On Becoming a Person* (Boston: Houghton-Mifflin Co., 1961); Philip Slater, *The Pursuit of Loneliness* (Boston: Beacon Press, 1970); Alvin Toffler, *Future Shock* (New York: Random House, 1970); Paul Watzlawick and others, *Change* (New York: Norton, 1974); Allen Wheelis, *The Illusionless Man, Fantasies and Meditations* (New York: Norton, 1966); and Robert White, *Lives in Progress* (New York: Dryden Press, 1952).

Several other books and articles relate directly to life planning processes for faculty: Harold Hodgkinson, "Adult Development: Implications for Faculty and Administrators," *Educational Record,* Fall (1974), 263-274; Mervin Freedman and others, *Academic Culture and Faculty Development* (soon to be published by the Wright Institute) and Freedman, ed., *Facilitating Faculty Development* (San Francisco: Jossey-Bass, 1973).

Chapter Eleven

Values Clarification

"If you knew that half of your students were to die at the end of the semester, would you change the way you are currently teaching your courses? How?" A simple question like this offered to an individual faculty member for reflection or to a small group of faculty for discussion will inevitably receive serious consideration. Each individual will grapple with the question as best he can; each will almost certainly produce different answers. Perhaps in this process many will have come to a clearer sense of what they actually value about teaching. No prescribed set of values has been imposed, no guidelines for acceptable responses laid down. The individual faculty member has, however, been assisted to a clearer understanding and articulation of his system of values through a process known as values clarification.

Since the publication of *Values and Teaching* by Louis Raths, Merrill Harmin and Sidney Simon in 1966 the subject of values clarification has received considerable attention; the bibliography of a recently published study lists over forty individual items.[1] Unlike traditional approaches to values, which emphasize either enforcement or modeling, values clarification focuses on the *process* of valuing and on the way values come into being. Since the growth and development of values is certainly not a process that stops with late adolescence, the methodology of values clarification can be used to great benefit with faculty, particularly in a workshop or seminar. As faculty become clearer about their own values and familiar with the process of values clarification, they often begin to introduce this ingredient into their own teaching, thus adding an important and personal element to the more objective environment of facts and concepts. This chapter will first briefly introduce the characteristics of the valuing process and then offer a number of approaches to values clarification that have been found effective with faculty; with only slight modification these exercises can be used by faculty in their own classes.

The authors of *Values and Teaching* theorize that values clarification is a continuous, ongoing process characterized by seven separate criteria. For something to qualify as a value it must meet each of the following requirements:

1. *Choosing freely.* If something is in fact to guide one's life . . . it must be a result of free choice. If there is coercion, the result is not likely to stay with one for long. . . . Values must be freely selected if they are to be really valued by the individual.
2. *Choosing from among alternatives.* This definition of values is concerned with things that are chosen by the individual and, obviously, there can be no choice if there are no alternatives from which to choose. . . . Only when a choice is possible, when there is more than one alternative from which to choose, do we say a value can result.
3. *Choosing after thoughtful consideration of the consequences of each alternative.* Impulsive or thoughtless choices do not lead to values. . . . For something intelligently and meaningfully to guide one's life, it must emerge from a weighing and an understanding. Only when the consequences of each of the alternatives are clearly understood can one make intelligent choices. . . .

4. *Prizing and cherishing*. When we value something, it has a positive tone. We prize it, cherish it, esteem it, respect it, hold it dear. We are happy with our values. . . .
5. *Affirming*. When we have chosen something freely, after consideration of the alternatives, and when we are proud of our choice, glad to be associated with it, we are likely to affirm that choice when asked about it. We are willing to publicly affirm our values. We may even be willing to champion them. . . .
6. *Acting upon choices*. Where we have a value, it shows up in aspects of our living. . . . In short, for a value to be present, life itself must be affected. Nothing can be a value that does not, in fact, give direction to actual living. . . .
7. *Repeating*. Where something reaches the stage of a value, it is very likely to reappear on a number of occasions in the life of the person who holds it. It shows up in several different situations, at several different times. . . . Values tend to have a persistency, tend to make a pattern in a life.[2]

In summary, the valuing process is characterized by the component processes of choosing, prizing and acting. A value is chosen freely from among alternatives after thoughtful consideration; a value is prized and affirmed; a value is repeatedly acted on. The process of values clarification assists individuals in applying these seven criteria both to existing and emerging values.

Values are held, and perhaps most frequently clarified, individually. In fact, the authors of *Values and Teaching* suggest that group discussions around values and the valuing process are best avoided, for they can often result in the kind of confrontation and argumentation that is not conducive to thoughtful exploration. Our experience, however, has indicated that exercises which utilize one or more of the valuing criteria can be effective with groups of faculty, provided that the group has developed a reasonable level of trust and openness. Working together in a supportive environment faculty can assist themselves and each other to a fuller exploration and understanding of their own values. Although perhaps less dramatic than other approaches to personal development, values clarification, embodying as it does the academic norm of thoughtful reflection, can be a powerful force for personal growth; it also appears to be more readily acceptable to faculty than almost any other mode of personal growth and development. The following exercises have all been found useful in assisting the process of values clarification with faculty.

NOTES:

[1] Howard Kirschenbaum, "Clarifying Values Clarification: Some Theoretical Issues and a Review of Research," *Group and Organization Studies*, 1 (1976), 99-116.

[2] Louis E. Raths, Merrill Harmin and Sidney B. Simon, *Values and Teaching* (Columbus, Ohio: Merrill, 1966), pp. 28-29.

EXERCISE NUMBER NINETEEN

TITLE: The Value Sheet

SOURCE: Adapted from *Values and Teaching*, pp. 83-111

GENERAL DESCRIPTION: One of the most important techniques that has been developed to assist in the process of values clarification is the value sheet. As Raths, Harmin and Simon (p. 83) describe it, "A value sheet in its simplest form consists of a provocative statement and a series of questions duplicated on a sheet of paper. . . ." Two sample value sheets for use with faculty follow; the range of possible topics suitable for use with this technique is, obviously, almost limitless. Note, however, that in both cases the questions move from the quotation to the actual real life situation of the participants.

INSTRUCTIONS FOR USE: Participants are asked first to work through the questions on their own, then to discuss their responses with three or four others.

THE VALUE SHEET
A TEACHING COLLEGE

The school was what could euphemistically be called a "teaching college." At a teaching college you teach and you teach and you teach with no time for research, no time for contemplation, no time for participation in outside affairs. Just teach and teach and teach until your mind grows dull and your creativity vanishes and you become an automaton saying the same dull things over and over to endless waves of innocent students who cannot understand why you are so dull, lose respect and fan this disrespect out into the community. The reason you teach and you teach and you teach is that this is a very clever way of running a college on the cheap while giving a false appearance of genuine education.

Robert M. Pirsig, *Zen and the Art of Motorcycle Maintenance* (New York: Bantam Books, 1974), p. 140.

1. Does this statement describe any institutions you are familiar with?

2. If you were (or are) in such a "teaching college" are there any ways of making this situation more tolerable for yourself?

3. What are the major forces in your institution that are moving you toward becoming a more effective teacher? That are blocking you from this goal?

4. Which of the blocking forces might be reduced? How?

5. Is there any action that you might plan to take in your own institution to make it a more healthy place in which to work and grow?

THE VALUE SHEET: LEARNING

> It seems to me that anything that can be taught to another is relatively inconsequential and has litttle or no significant influence on behavior. . . . I realize increasingly that I am only interested in learnings which significantly influence behavior. . . . I have come to feel that the only learning which significantly influences behavior is self-discovered, self-appropriated learning. . . . Such self-discovered learning, truth that has been personally appropriated and assimilated in experience, cannot be directly communicated to another.

Carl Rogers, *Freedom to Learn* (Columbus, Ohio: Merrill, 1969), pp. 152-153.

1. What is your initial reaction to this quotation?

2. Are there any points Rogers makes with which you strongly agree? Strongly disagree? Which ones?

3. How does your teaching reflect the extent of your agreement or disagreement with Rogers? Can you give one or two specific examples?

4. What kinds of learnings do *you* value in your classes? How do you know when they have taken place?

5. Have you considered the possibility of other kinds of learnings for your classes? Why have you chosen the ones you have?

EXERCISE NUMBER TWENTY

TITLE: Metaphors

SOURCE: Unknown

GENERAL DESCRIPTION: It is often useful to think about various aspects of our lives metaphorically, for through metaphor can come clarification. To do this a person need only translate a part of his life (or his entire life, for that matter) into an image of something else (a building, a city, or a painting, for instance). Out of this image can come a great deal of insight.

INSTRUCTIONS FOR USE: After a few brief remarks on the usefulness of metaphors as a way of thinking about ourselves, the group leader asks the participants to divide themselves into small groups and to think for a few minutes about such a question as "If my teaching were a house, what would it look like?" Participants should be encouraged to develop their metaphor as fully as possible by exploring some of the following areas:

1. Where is the house located?
2. How near is it to other houses?
3. What are the grounds like?
4. What is on the inside of the house?
5. Which is your favorite room?

After they have had some time to develop their images, the participants are asked to share their metaphors with each other in small groups.

Variations:

1. Other aspects of the participants lives can be used.

2. Other metaphors (other buildings, rooms, woods, beaches and so forth) can be used.

3. Participants may develop more than one metaphor. For instance, they might be asked to develop an image of their teaching as it was five years ago, as it is now and as they would like it to be five years from now.

EXERCISE NUMBER TWENTY-ONE

Title: The Continuum

Source: Adapted from *Values Clarification*, pp. 116-119

General description: This is an extremely simple technique which nevertheless produces considerable discussion. It is infinitely adaptable to classroom use, where it has proven effective in clarifying values and attitudes toward a wide range of topics.

Instructions for use: Participants are asked to indicate their response to a controversial statement by placing themselves along a continuum of possible responses. For instance, the group might be given the statement "An instructor's primary teaching responsibility is to his discipline" and have placed before them on a sheet of newsprint the following continuum:

Strongly Agree ________________________ Strongly Disagree
1 2 3 4 5 6 7

Each participant indicates his response to the statement along the continuum, perhaps by actually writing his name on it. Once the participants have identified their positions discussion can begin, either in small groups selected to represent a range of responses or in the group as a whole.

Variations:

1. To avoid fence sitting, it may be useful to point out that, since no one could be neutral about such a statement, number four, the mid-point on the continuum, will be crossed out.
2. Sometimes it is effective to ask the two individuals with the most positive and negative feelings on an issue to engage in a face to face dialogue, perhaps occasionally asking them to switch chairs and argue the other person's position.

EXERCISE NUMBER TWENTY-TWO

TITLE: Values Grid

SOURCE: Adapted from *Values Clarification*, pp. 35-37

GENERAL DESCRIPTION: The approach to values clarification developed in *Values and Teaching* suggests that valuing is a process characterized by seven particular criteria. This exercise allows participants to examine their positions on various academic issues in light of those criteria.

INSTRUCTIONS FOR USE: A values grid like the one presented below is distributed to each participant. The issues for consideration may be filled in as in this example or may be generated by the group. On each issue participants are asked to indicate briefly in the blank space their stand or position on that particular item. That position is then checked against the seven valuing questions suggested in *Values Clarification* (p. 36):

1. Are you *proud* of (do you prize or cherish) your position?
2. Have you *publicly affirmed* your position?
3. Have you chosen your position from *alternatives?*
4. *Have you chosen your position after thoughtful consideration* of the pros and cons and consequences?
5. Have you chosen your position *freely?*
6. Have you *acted* on or done anything about your beliefs?
7. Have you acted with *repetition*, pattern or consistency on this issue?

If the question can be answered in the affirmative, participants may check the appropriate box; if negative, they should leave it blank. Once this process has been completed, participants may find it useful to discuss their responses in trios.

THE VALUES GRID

Issue	Position	1	2	3	4	5	6	7
Scholarship vs Teaching								
Research								
Innovative Teaching								
Tenure								
Committee Work								
The Lecture Method								
Departmental Loyalty								
Grades								
Incompletes								

EXERCISE NUMBER TWENTY-THREE

TITLE: Objectives

SOURCE: Steven R. Phillips, based on a similar exercise suggested by John A. Shtogren, Virginia Commonwealth University

GENERAL DESCRIPTION: The exercises presented in this chapter deal with a number of important value issues. Except for the quotation from Carl Rogers in the exercise on value sheets, however, none deal directly with the values associated with specific teaching objectives. What does a faculty member value about her teaching? What specific kinds of learnings does she wish to have take place? What is most important to her about her teaching? This exercise allows individual faculty to clarify their values around these and similar issues.

INSTRUCTIONS FOR USE: The list of "Possible Course Goals," which has been taken from the IDEA system of faculty evaluation developed by the Center for Faculty Evaluation and Development in Higher Education at Kansas State University, is distributed, either on a single sheet or on separate index cards. Participants are then instructed to rank each of those objectives from most to least important; the objectives they rank first should be the most important ones for them as teachers, the last the least important. Participants may then be asked to discuss their rankings — and the reasons for them — with others.

Variations:

1. Once the initial ranking is completed, participants may discard as many possible objectives as they can, keeping only those which are *essential* to their teaching.
2. Each participant may develop two rankings, the first representing an ideal order, the second an order which reflects real conditions and restraints.
3. Rankings can be made which attempt to reflect the perceptions of others. How, for instance, would students rate these objectives? Administrators? The department? Parents?

POSSIBLE COURSE GOALS

1. Learning to apply course material to improve rational thinking, problem-solving and decision-making.
2. Developing creative capacities.
3. Gaining factual knowledge (terminology, classifications, methods, trends).
4. Developing skill in expressing oneself orally or in writing.
5. Developing specific skills, competencies and points of view needed by professionals in the field most closely related to the course.
6. Gaining a broader understanding and appreciation of intellectual-cultural activity (music, science, literature, etc.).
7. Learning fundamental principles, generalizations or theories.
8. Discovering the implications of the course material for understanding oneself (interests, talents, values, etc.).
9. Learning how professionals in the field go about the process of gaining new knowledge.
10. Developing a sense of personal responsibility (self-reliance, self-discipline).

FURTHER READINGS:

The basic discussion of values clarification is Louis E. Raths, Merrill Harmin and Sidney B. Simon, *Values and Teaching* (Columbus, Ohio: Merrill, 1966). Numerous suggestions for the practical application of this methodology may be found in Sidney B. Simon, Leland W. Howe and Howard Kirschenbaum, *Values Clarification: A Handbook of Practical Strategies for Teachers and Students* (New York: Hart, 1972); Merrill Harmin, Howard Kirschenbaum and Sidney B. Simon, *Clarifying Values Through Subject Matter: Applications for the Classroom* (Minneapolis, Minn.: Winston, 1973); Sidney B. Simon, *Meeting Yourself Halfway* (Niles, Illinois: Argus Communications, 1974); and Robert C. Hawley, *Values Exploration Through Role Playing* (New York: Hart, 1975). The whole area of values clarification has been reconsidered by Howard Kirschenbaum in *Beyond Values Clarification* (Upper Jay, New York: National Humanistic Education Center, 1973); the current status of this methodology has been most recently reviewed by the same author in "Clarifying Values Clarification: Some Theoretical Issues and a Review of Research," *Group and Organization Studies*, 1 (1976), 99-116. For a more existential approach to values clarification, see the writings of Carl Rogers, especially *On Becoming a Person* (Boston: Houghton Mifflin, 1961), "Toward a Modern Approach to Values: The Valuing Process in the Mature Person," *Journal of Abnormal and Social Psychology*, 2 (1964), 160-167, and *Freedom to Learn* (Columbus, Ohio: Merrill, 1969); Rollo May, *Love and Will* (New York: Norton, 1969) and *Power and Innocence* (New York: Norton, 1972); and Ludwig Binswanger, "The Case of Ellen West" in Rollo May, ed., *Existence* (New York: Simon and Schuster, 1958), pp. 237-364.

Section IV

Program Development And Evaluation

Chapter Twelve

Program Development and Evaluation: An Overview

Faculty development has moved beyond the point of promise; programs and practitioners must now deliver tangible and effective services to their faculties and institutions. It is no longer enough to conclude a discussion of faculty development, as we concluded the first volume of this handbook, with the somewhat hopeful, perhaps somewhat befuddled, statement that "the processes of change . . . are always subtle and ill-defined. One should be amazed that any significant change ever takes place and should feel gratified if this change has in part been attributable to one's own efforts."[1]

Unfortunately, we still know comparatively little about the ways in which faculty change and grow as professionals. In the near future, more research will be needed about what faculty do both inside and outside the classroom. The second chapter of this volume points to several areas in which more research should be conducted regarding faculty motivation; the efforts of such people as Jerry Gaff,[2] John Centra[3] and Nevitt Sanford[4] must be encouraged and extended by other researchers in higher education, as well as by practicitioners in the field of faculty development.

In addition, we must constantly search for and test new models of change and development. In the thirteenth chapter of this handbook we have discussed the way in which one field, community development, might contribute to our awareness and understanding of alternative faculty development practices. We must look to other fields as well for insights into the processes of change and development.

Finally, we must encourage the design and use of evaluative tools and procedures that enable us to obtain valid and useful information about what effect we are having on faculty and on the teaching and learning taking place in our institutions, as well as why these effects have occurred. Accordingly, the final chapter of this handbook addresses the issue of evaluation and provides descriptions of several different procedures that can be used in the assessment of faculty development programs.

Notes:

[1] William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development* (Washington, D.C.; Council for the Advancement of Small Colleges, 1975), p. 266.

[2] Robert Wilson, Jerry Gaff and others, *College Professors and Their Impact on Students* (New York: Wiley and Sons, 1975); and Gaff, *Toward Faculty Renewal* (San Francisco: Jossey-Bass, 1975).

[3] John Centra is currently preparing a major report on faculty development practices. He has also produced many other research reports for the Educational Testing Service (Princeton, New Jersey) that are concerned with faculty and teaching practices.

[4] Nevitt Sanford, "Academic Culture and the Teacher's Development," *Soundings* (1971), 357-371; Mervin Freedman, ed., *Facilitating Faculty Development* (San Francisco: Jossey-Bass, 1973); and Freedman and others, *Academic Culture and Faculty Development* (Wright Institute: in progress).

Chapter Thirteen

A Community Development Approach To Faculty Development

During the past decade, the field of community development has emerged as an area rich in new insights about change and action in complex social settings. As social institutions which act in many ways like small towns or municipalities, American colleges and universities can benefit by an examination of the learnings from this new field. Though community development is ridden with conflicting philosophies, goals and images concerning the ideal society — as are other fields of social and behavioral science — it is a field which has produced a number of provocative approaches to social change.

Central to the field of community development is the distinction between lower-order (or first-order) and higher-order (or second-order) change. Lower-order change can be defined as an action which alters social outcomes but does not alter the way in which these outcomes are derived. A lower-order change might, for instance, influence the policy of a social system but will change neither the way that decision was made nor the way related decisions will be made in the future. A higher-order change, on the other hand, influences not only social outcomes but also the actual social process as well.

The concept of higher-order change is emphasized by Michael Lauderdale and James Peterson in *Community Development*. Major community changes, according to the authors, bring about new modes of thinking, behaving and interacting. These changes "alter the total frame of reference and produce revolutionary Gestalts, which in turn modify interrelationships among all elements."[1] In Thomas Kuhn's terms (see Chapter One), major community changes involve the destruction of existing social paradigms and the creation of new ones.

Lauderdale and Peterson present an excellent example of higher-order change when they describe the effects of technological breakthroughs in transportation on our concepts of space and time:

> We do not become more efficient in travelling by horse but rather we change the *mode* of travel, first through mechanized means on the ground and then through the air. This change of mode then redefines the psychological concepts of time and distance. . . .
>
> In the villages of the 1800's a man's neighbors were usually little beyond his vision or the sound of his voice. Community was a spatial concept clearly defined by the boundaries of the village and reaffirmed every day by person-to-person contacts. Concepts of larger community, such as the city or the nation state, were still quite new and fragile in the nineteenth century, yet were rapidly being reinforced by the technologies of the railroad and the telegraph.[2]

Higher-order change is usually very difficult to bring about, whether one is seeking change in a community or in a college faculty; in many cases successful execution of lower-order change may be all that is reasonably possible. To clarify, therefore, the various approaches that may be taken to community — and academic — change, Lauderdale and Peterson outline five different approaches to social development. The first three of these — capital infusion, leadership and group dynamics and service coordination—are usually lower-order change efforts; the last two—pressure groups and natural groups — offer the potential at least for more profound, higher-order change. An examination of each of these five approaches will not only provide a systematic overview of alternate approaches to change but will also suggest a range of activities and options for faculty development.

A. Capital Infusion

This is probably the most dominant mode of community development. It is represented in most foreign aid programs, the Peace Corps and domestic and foreign agricultural assistance efforts. Capital infusion programs are resource oriented; they "deal with the dysfunctional aspects of a community's organizational patterns by inputing massive amounts of resources."[3] Since existing governments and institutional structures become the vehicles for implementation of the program, capital infusion can be carried out with relatively little resistance from sources of power. It is often, however, a disjointed and insensitive response to complex social problems. The existing structures are reinforced, when in fact they might be contributors to current problems.

Faculty development programs often operate on this model. Typically, there is an infusion of such new resources as time (release time or sabbaticals), money (salary increases), transportation (support for travel to a national convention), communication (subscriptions to major journals or newsletters in a discipline or in higher education) or machinery (purchase of a new computer terminal). As with other capital infusion projects, this type of program is usually administered through existing organizations and campus governance structures and hence tends to reinforce their existence. Faculty development efforts of this type are quite common precisely because they are subject to minimal resistance by the faculty who receive the resources or by the administrators who make the decisions concerning their disbursement.

The infusion of major new resources into institutions of higher education will not be a common occurrence in a period of financial retrenchment. Yet even though large amounts of money are not generally available, funds for certain priority areas — like faculty development — may be. In designing a program based on the addition of significant new resources to an institution, it is worthwhile to keep in mind the strengths and limitations of capital infusion. Faculty have a legitimate and pressing need for the resources required to remain current in their disciplines, to conduct research, to obtain subscriptions to professional journals and to attend professional meetings; it is crucial that these resources be made available, either through institutional budgets or external funding. Yet it must be emphasized that capital infusion primarily reinforces existing structures and attitudes; to the extent that faculty development is an effort to alter patterns of operation and behavior capital infusion will be unproductive. Greater command of and commitment to a discipline can result from increased resources for research and professional travel; changed attitudes toward interdisciplinary studies, toward colleagues and toward the process of teaching and learning is not likely to result. While protecting and supporting traditional faculty needs, faculty development must look elsewhere for more significant change strategies.

B. Leadership-Group Dynamics

This approach to change, which frequently emerges in response to disillusionment concerning capital infusion models, focuses on improving the quality of leadership and of small group functioning in the community. Leadership-group dynamics is used widely by social workers and psychologists as well as by church and civic groups. It makes use of insights and expertise concerning human relations training developed in the last twenty or thirty years, largely in industrial settings. Faculty development practitioners have also made extensive use of this approach, conducting leadership training workshops and conferences on small group dynamics for both faculty and administrators.

An emphasis on change based in leadership and group dynamics faces two major problems. First of all, many people resist this type of training, labeling it "sensitivity training" or "touchy-feely." Although this is frequently the response of ignorance, some resistance may be justified, for the human relations movement has often lacked precision concerning training goals; the experience itself, and not the learnings generated by the experience, at times seem to be the major objective. Second, leadership and small group training experiences are primarily focused on individuals, not on their social systems. Unless all influential members of a community are exposed to this training within a short period of time, and unless all major structures and procedures of the community are operated in accordance with the procedures and styles being promoted in the training program, the participants will return to an alien community which is not supportive of significant change in behavior.

On the other hand, it is essential to recognize that this approach can be an important element in a change effort, for a fuller understanding of leadership skills and an increased sensitivity to the dynamics of small groups cannot only improve the current functioning of existing structures but can also over time change the very process by which those groups operate; manipulation and power plays can give way to consensus. Although an emphasis on leadership and group dynamics has not proven to be the panacea some had expected, it remains for many social systems a viable approach to change.

C. Service Coordination

Efforts at community development based on this approach involve "an identification of community needs, process and programmatic efforts to resolve these needs through utilizing existing resources and the development of supplemental resources."[4] Typical of this approach to community development are community councils, united funds and social welfare coordination, while in recent years the role of "ombudsman" has gained increased credence in a service coordination function. The ombudsman assists a member of the community in working through existing structures and procedures to address grievances or obtain services.

In college communities, the service-coordination function has been provided for students through student unions, student counselling services and the office of Dean of Students. Even the role of student "ombudsman" was given serious consideration by some colleges and universities — and adopted by a few — during the late 1960's and early 1970's. On most campuses, however, there is no comparable service for either faculty or administrators. Certainly this is one of the new directions in which faculty (and administrative) development might wish to proceed. A faculty development program might, for instance, provide faculty with information about mental health, financial counselling, day care or recreation services, since each of these can be shown to have an impact on the performance of faculty in their professional lives. A faculty development program might also provide faculty with valuable research assistance. One California college, for instance, is now exploring a consultation project in which several members of the computer service staff, who are also trained in statistics and research design, work closely with faculty from the beginning of their research, so that at the point when programming and computational services are needed, the data will be fully compatible with the available computer programs. The faculty development director on this campus will coordinate these research-consultation services.

Service-coordination helps make currently available resources more accessible and useful and hence tends to establish the credibility of a program which provides this coordination. At a relatively low cost, a faculty development practitioner can incorporate this type of coordination into his program. The practitioner in either community or faculty development, however, should recognize that this model, like most capital infusion efforts, involves only first-order change; the existing structure is helped to function more effectively. The two remaining community development models, however, both speak to at least the possibility of structural change, the first by bringing about profound change in current formal structures, the other by creating or reinforcing the emergence of an alternate, naturally-based structure.

D. Pressure-Group Model

Closely associated with the work of labor unions, civil rights groups and other protest groups, this approach has been described by Lauderdale and Peterson as the "organization of individuals into a cohesive, action-oriented group" with a focus primarily on "changing organizational characteristics of the community that have made the solution of human needs impossible."[5] The work of both Saul Alinsky and Ralph Nader, in quite different ways, illustrate the use of this approach in the achievement of significant community change.

The pressure group model may incorporate a variety of approaches to social change, including boycotts, demonstrations, political bloc voting, civil-disobedience, investigatory reporting and dissemination of privileged information. Lauderdale and Peterson identify seven basic assumptions that are central to this model:

(1) local people want to solve their problems;
(2) local organizations can be utilized to carry out action plans;
(3) planning for action encompasses all needs of the community;
(4) democratic societies respond to pressure;
(5) development of indigenous leadership is an effective form of change;
(6) local people desire to be self-directing and
(7) action plans can be self-supporting once they are initiated.[6]

In addition to the localization of effort which Lauderdale and Peterson emphasize, several other themes tend to dominate this approach. First, although the pressure-group model emphasizes the destructive quality of current social structures and policies, it requires of the effective practitioner an extensive knowledge of this very structure — both of its weaknesses and its strengths. An effective organizer of pressure groups will use those resources of the current social system which have been designed to prevent change from within the system as a vehicle for blocking effective response to change that has been generated from outside the system by the pressure group. In a college or university, for instance, the very fact that a new policy or action will take two to three years to pass through the complex committee structure of the institution can be used to advantage by a change agent, for this same encumbering structure may prevent one's adversaries from effectively blocking a program that has been started outside the formal structure.

Second, this approach requires the composition and maintenance of a support group which can sustain activities through periods of personal doubt, failure and even punishment. Charismatic leadership in this support group may not be essential, though it certainly can be helpful. The support group certainly needs its own safe, isolated setting, where the ideologies and aspirations of the group can be reviewed and reinforced.

Third, the effective pressure group requires a diversity of roles and functions. There is a need for both the dreamer who has constructed an alternate future and the revolutionary who is effective in bringing about the overthrow of the current system.

The frequently confrontational tactics employed by pressure groups in community development are not necessarily antithetical to the more collegial norms (or ideals) of higher education. Physical confrontation, of course, is not likely to be productive but the intellectual confrontation of a well prepared pressure group can be effective. Like the change teams described in *Renewing Higher Education from Within*,[7] a committed group of individuals can have significant impact on the structure of academic institutions. A faculty union need not be the only — or best — way of exerting pressure for change; other efforts, working at least tacitly within institutional norms, can have significant and lasting success and may form an important part of a faculty development effort.

E. Natural-Group Model

This approach to community development "seeks to focus upon the organizational patterns of communities and nations which inhibit human need resolvement through broadening decision making roles."[8] Natural relationships which exist among people with unresolved needs are systematically blended to form a functional, action-oriented organization. This relatively new approach to community development usually is based on a systematic assessment of a community's needs, the identification of natural helping networks and relationships in the community and the establishment of efforts to work with the networks to increase their capacity to meet these needs.

Several community development agencies in the United States, like Jim Kent's Foundation for Urban and Neighborhood Development in Denver, Colorado, have worked with communities in the identification and development of their own internal resources. In the area of health care, for instance, developers have extensively interviewed members of the community to determine their needs and the informal ways they go about meeting them by asking such questions as "Who do you talk to if your baby is sick?" and "Who do you go to when you are feeling sick?" The community developer will then work with the "natural helpers" thus identified to improve their services, rather than set up an alternate and competing health care delivery system.

A faculty development practitioner can make effective use of both an assessment of community needs in her institution and an assessment of the natural helping network among faculty. Community needs can be identified in a variety of ways: through in-depth interviews of faculty and other members of the institution, through questionnaires, through psychometric devices and through sessions which bring together a small group of individuals to assess and discuss systematically various aspects of institutional life. Similarly, the natural helping network of a college or university can be assessed through the use of in-depth interviews, questionnaires, observations and small group discussions. This procedure can be extremely valuable not only as a source of information for the faculty development program about potential sources of assistance but also as a vehicle for establishing the program among those people who have been contacted.

The information which is collected about the natural helping network can be used in several ways. First, if no informal network is found to exist at the institution, that is, if faculty indicate that they do not consistently go to any other person for help in solving a specific type of problem, then the faculty development practitioner has access to valuable information concerning one or more vital needs of the campus. Second, if the interviews, questionnaire, observations and/or small group discussions do reveal a helping network, then this information can be used to assist the institution in deciding where to distribute most effectively various resources such as money, time and materials (thus blending the capital infusion and natural helping group models of community development). Finally, a faculty development program can become a source of information to faculty about those people on campus who might be of help in solving a specific problem.[9]

F. Conclusion

In this survey of several models of community development, we have touched lightly on a few of the many ways in which this new field might be applied to faculty development. The problems and promises associated with work in a collegiate institution might be more effectively addressed by the faculty development practitioner if he has examined a wide variety of strategies and techniques for change in complex social systems. The themes and models just described should provide not only several specific suggestions concerning faculty development, but also a conceptual context within which programs might creatively generate new approaches to social change and professional growth.

NOTES:

[1] Michael Lauderdale and James Peterson, *Community Development* (Washington, D.C.; Education, Training and Research Sciences Corp., 1971), p. 2.

[2] Lauderdale and Peterson.

[3] Lauderdale and Peterson, p. 13.

[4] Lauderdale and Peterson, p. 15.

[5] Lauderdale and Peterson, p. 16.

[6] Lauderdale and Peterson.

[7] Walter Sikes, Lawrence Schlesinger and Charles Seashore, *Renewing Higher Education from Within* (San Francisco: Jossey-Bass, 1974).

[8] Lauderdale and Peterson, p. 17.

[9] A program based on internal linkages such as these may extend that strategy by providing faculty with information on resources outside the institution through linkages to NEXUS (the national clearinghouse on information about human resources in higher education: 800/424-9775), ERIC (Educational Resources Information Clearinghouse — a national network on information about printed resources in higher education), the Yellow Pages on Innovation in Undergraduate Education (*change* Magazine), the CASC Consulting Network (clearinghouse for information on human resources in the small, liberal arts college: CASC, Washington, D.C.) and Resources for Planned Change (clearinghouse for information on human resources in state colleges and universities; Association of State Colleges and Universities, Washington, D.C.). Many of these clearinghouses were established to provide, on a national level, the type of linkage services that are being described here for the individual campus. Such a linkage service can effectively combine the natural group and service-coordination models of community development.

Chapter Fourteen

The Evaluation of Faculty Development Programs

"The tragedies of science," according to Thomas Huxley, "are the slayings of beautiful hypotheses by ugly facts."[1] Many faculty development programs face this prospect when confronted with the need to design or select processes for the evaluation of their efforts. Program evaluation may indeed be threatening to cherished notions about how faculty development works or, more immediately, to how a particular project is impacting on a particular campus. In the present chapter we will review a series of concepts and tools that can hopefully reduce this threat by making the evaluative process somewhat clearer. We will also provide constructive options for the practitioner who knows about evaluation but finds it to be an enterprise that is at best unpleasant and at worst seemingly destructive.

Program evaluation is a process which is inevitably somewhat unpleasant, for all growth and change involve some pain. Evaluation, however, should always be constructive and should be geared towards the needs of both those who are serving and those who are being served by the program. We will address five basic questions about evaluation as a means of describing an effective and constructive process: (1) What is program evaluation? (2) Why should a faculty development program be evaluated? (3) Who or what should be evaluated in a faculty development program? (4) How should evaluation take place? and (5) What evaluation methods are available? We shall conclude the chapter with a few personal notes for the individual who undertakes the complex and often discouraging task of evaluating a faculty development program.

A. What is Program Evaluation?

At the start of his recent volume on academic evaluation, Paul Dressel differentiates between evaluation as a "judgment of the worth or impact of a program" and evaluation as "the process whereby that judgment is made."[2] Ed Kelley further differentiates between judgments concerning the extent to which the intentions of the program were satisfied and judgments concerning whether or not the program was any good.[3] Concern for judgment necessarily involves issues of values, criteria, goals, consumers and audience; concern for evaluative process necessarily involves issues of method, instrumentation and resources. Both approaches to evaluation require a clear definition of clientship, a precise sense of the role of evaluation and an explicit understanding of the way in which the evaluative judgment or process will be used by the program staff and others.

In essence, program evaluation involves the development of a process whereby program activities can be interrelated with and compared to program expectations, goals and values. The nature of this interrelationship will vary considerably. In some instances, external assistance will be required to establish the process, while in other instances the external assistance will be used to provide the interrelationship (judgments) once the process has been defined. In yet other instances, the external assistant (evaluator) will both identify the process and provide the judgments.

B. Why Should a Faculty Development Program be Evaluated?

The best way to answer this question is to state that the evaluation of faculty development programs is simply the right thing to do. We all know that program evaluation and accountability are essential in any social system which has limited resources, personnel and time. Yet the real reasons for doing an evaluation of a faculty development program are in fact more complex and reflect the multiple purposes to which evaluation can and should be directed.

First, an evaluation is essential in most faculty development programs because it is required of the organization which funds the program — be it a private foundation, federal agency or the institution being served. The recent upsurge of interest in program evaluation is primarily attributable to the increasing demand by many educational organizations for an evaluation component in proposals that are submitted to them for funding or formal support. Unfortunately, the interest of many educational organizations in program evaluation is frequently not matched by a willingness to commit appropriate funds for the effective implementation of these evaluation components. Thus, at least in the field of faculty development, evaluations are typically conducted on rather limited budgets.

The second reason for evaluating a faculty development program is to determine if the program has, in fact, reached its original objectives. A distinction at this point may perhaps be made between two possible kinds of objectives. On the one hand, the program will likely have established a number of particular objectives, ranging from conducting a certain number of workshops for a certain number of faculty to implementing a certain number of faculty exchanges; an evaluation can and should determine if these objectives have been successfully met. On the other hand, every faculty development program faces certain political and institutional pressures, and an evaluation may well need to be conducted to demonstrate the program's success and thereby ensure its continuing existence. Jack Noonan, the director of one of the most extensively evaluated faculty development programs in this country, has recently noted that program evaluation must acknowledge this political reality by attempting to document success based on criteria which are considered important by significant and influential organizational leaders.[4] These may be individuals who hold direct decision-making control over the continuing existence of the program or more indirect influence as campus opinion leaders, charismatics, experts or activists. This evaluation function will rely heavily on value judgments and political considerations.

Generally speaking, this second reason for evaluation is closely identified with the term "summative evaluation." According to Anderson, Ball, Murphy and Associates:

> The purpose of summative evaluation is to assess the overall effectiveness of a program. . . . Summative-evaluation reports are directed primarily toward those who set policy at various levels . . . summative evaluation is the assessment of an already developed program.[5]

The third purpose of program evaluation contrasts rather sharply with the second. An evaluation enables members of the program staff to improve their performance. It provides feedback to staff members concerning their own assumptions and expectations about how the program should and does function and about the success of their own individual performance. Noonan identifies this purpose with the concept of "formative evaluation." In contrast to summative evaluation, Anderson, Ball, Murphy and Associates note that:

> Formative evaluation is concerned with helping the developer of programs or productions . . . through the use of empirical research methodology; summative evaluation is con-

> cerned with evaluating the overall program after it is in operation. Ideally, the formative evaluator will work along with the developer from the outset of his work. . . . The summative evaluator, on the other hand, should be, and should seem to be independent of developer, product and program.[6]

Formative evaluation has only recently become "legitimate," with the support of prestigious theorists such as Michael Scriven[7] and influential technicians, such as Benjamin Bloom, Thomas Hastings and George Madaus.[8]

Paul Dressel suggests a fourth reason for program evaluation, one that is closely linked to the political reasons suggested by Noonan; evaluation serves a decision-making purpose:

> The purpose of systematic evaluation is simply that of bringing to a conscious level and in a form to expedite decision-making, the assumptions and values inherent in educational programs, to relate these to anticipated procedures and expected accomplishments, and to compare these plans with actual functioning and results.[9]

Daniel Stubblebeam and his colleagues have identified four different types of evaluation that each relate to a specific phase of the decision-making process: (1) context, (2) input, (3) process and (4) product.[10] Context evaluation influences planning by providing a diagnosis of discrepancies between program goals and objectives on the one hand and the current program status, activities and outcomes on the other. Input evaluation influences the operational phase of the decision-making process after program goals and objectives have been clarified by means of context evaluation. Input evaluation provides information about the need, availability, costs and benefits of various program resources. Process evaluation provides feedback concerning the daily operations of the program and thereby aids routine decision-making concerning mid-course program changes. Finally, product evaluation focuses on the extent to which specific goals are being achieved and can assist decision-making concerned with the future life of the program. Though product evaluation is often equated with summative evaluation, this equation is not quite correct, for product evaluation can be employed during the course of the program — as a kind of quality control — as well as at its end.

The fifth and final purpose of evaluation we will discuss relates to the potential influence of the evaluation process on other programs and activities in the institution. If a faculty development staff is to promote institutional innovation and accountability, then it should exemplify these values by submitting or even helping to design a process for the evaluation of its own program. Once a person is involved in this process first hand, he can speak with some authority and experience about the benefits as well as problems associated with program evaluation. While this specific function is rarely mentioned in discussions about program evaluation, it may be among the most important to be served by an evaluation of faculty development in terms of long-term impact on the institution.

C. Who or What Should be Evaluated?

In many areas of change and development in higher education, this question would either be absurd or mundane, for the area itself clearly defines what is to be evaluated. In the case of fiscal management, for instance, it is clear that a training program should be evaluated in relationship to the competencies acquired and exhibited by the trainee in managing fiscal matters. Concerning faculty development, however, the question of who or what is being evaluated is both relevant and troublesome. Because there is no common agreement about what type of impact should reasonably be expected from a faculty development program, the issue of accountability is unsettled and leaves open questions concerning the direction and method of evaluation. At the heart of the problem resides the issue of whether or not a faculty development program should be expected, over the short or intermediate run, to influence the rate or type of learning that is acquired or experienced by students.

Some faculty development practitioners and evaluators believe that a successful faculty development program should be able to demonstrate an impact on student learning, for, according to them, that is the primary reason the program was established. Without a successful learning environment and skillful learning resources, including faculty, the vitality of an institution, in terms of both educational mission and fiscal survival, is endangered. Put simply, if students do not learn, faculty do not work.

On the other side of the issue stand those who argue for faculty change and development as the primary criterion by which the success of a faculty development program should be measured. Advocates of this position contend that student learning is influenced by many factors other than just the performance of faculty; hence, it is inherently incorrect to hold a faculty development program accountable for an outcome, student learning, that is influenced by many factors outside the domain of the program.

There is obviously no right or wrong answer to this question — both arguments are legitimate. We are inclined to side with the emphasis on faculty growth as a primary criterion of program success, if for no other reason than the fact that this is a much more realistic goal for most faculty development programs — at least over a one to four year period. However, faculty development programs frequently promise more than they can deliver and consequently have created a significant and disruptive credibility gap in the field. If program goals — and hence criteria for evaluation — are defined in terms of changes in faculty who have participated in the program, then program observers as well as participants are less likely to be disappointed. Furthermore, the resulting evaluation will be easier to conduct and will be more valuable in a formative way to the program staff than will an evaluation of student learning outcomes.

On the other hand, any effective evaluation which is to be summative in nature must ultimately address the issue of student learning. A faculty development program will usually be supported for only a limited period of time if it cannot be shown to influence student learning in some concrete way. A convincing example of the impact which this type of documentation can have on the survival of a faculty development program is offered by Robert Diamond, the director of the Center for Instructional Development at Syracuse University.[11] Over the past five years, his research and evaluation staffs have systematically collected data that compares differences in rates of learning between students who have taken courses designed with the assistance of the instructional development staff and students taking courses that have been designed independently of the staff. Significantly better learning has occurred in the assisted courses than in comparable non-assisted courses.[12] These data, according to Diamond, had a strong influence on a campus committee that was investigating the Center. Upon examination of these data, the committee concluded that this program should continue to be funded at a significant level, despite fiscal constraints at the university.[13]

One final cautionary statement needs to be made about the use of student learning criteria. A program can be considered successful if it has assisted a faculty member to improve his self-image as a professional or to meet constructively a difficult mid-career transition. Must we value the growth and development of a faculty member or of an entire institution only as this growth and development relates to job-related output, student learning? In the humanization of organizations, many practitioners have argued persuasively that any organization should always embrace and hopefully integrate two sets of goals, one set relating to the products of the organization, the other relating to the growth and gratification of those people who work in the organization.[14] Should a college or university be any different from other organizations? Should it not also be committed to humanizing goals?

D. How Should Evaluation Take Place?

This question relates to the broad strategies that should be embodied in an evaluation of a faculty development program, for there are several general steps that should be followed in any successful approach to the evaluation of these activities. In the next section of this chapter we will describe a diversity of approaches to program evaluation that will differ radically in the relative emphasis placed on each of these common steps. In this section, however, we will describe the eight steps that each of these approaches should embrace: (1) identification of program goals, priorities and values as they relate to the evaluation process; (2) determination of acceptable criteria for measuring the success of the program as these criteria relate to program goals, priorities, values and objectives; (3) identification of program activities and outcomes that are to be evaluated, as these activities and outcomes relate to the success criteria; (4) identification of the procedures, instruments and strategies to be used in evaluating the identified program activities and outcomes; (5) collection of information about the program activities and outcomes that are to be identified; (6) analysis of data that are collected with specific reference to the relationship between these data and success criteria; (7) presentation of data and analyses in a manner that is conducive to creative problem-solving; and (8) evaluation of the evaluation process by both evaluator and client.

Before proceeding to a description of each step, a more basic issue must be addressed which can significantly affect the way in which these eight elements are interpreted. This issue concerns the relationship between program evaluation and research. Many of the elements that are usually ascribed to an evaluation belong more appropriately in a research project. As Ed Kelley has noted, many people equate program evaluation with the specific and controlled procedures of a research project, when in fact program evaluation requires a broad, systematic "brush-stroke" approach to data collection and analysis.[15] Research generates new information or confirms new hypotheses about specific, existing phenomena; it must be focused and highly controlled, for research is only valuable if generalizable beyond the specific sample being studied.

Evaluation is not so much directed toward the generation of new information or hypotheses as it is toward the confirmation of existing information and hypotheses that lead to the creation of a new program or modification of an existing one. While an evaluation does demand focus and control, it is more important that it be comprehensive and penetrating; the evaluation results need not be generalizable but they must be insightful about the specific program being evaluated. Research should precede, accompany and influence program development. On the other hand, evaluation should accompany, follow and be influenced by program development.

These distinctions between research and evaluation become less clear, however, as we examine specific methods of evaluation. Several of the approaches to program evaluation which we will examine, like illuminative evaluation, attempt to provide not judgments (did or did not something work) but descriptions and explanations (why did or did not it work), thereby breaking down the distinction between evaluation and research. Other methods we will discuss, like consultative evaluation, attempt to move one step further by providing solutions (how to do it better) as well as judgments and explanations. One of the most influential models of program evaluation even explicitly integrates research and evaluation; Suchman labels this approach "evaluative research."[16]

The distinction between evaluation and research does, however, hold some validity with reference to the eight steps we are about to describe. The first step, goal clarification, for instance, is emphasized in virtually all evaluation models. As Suchman has noted, "Evaluation cannot exist in a vacuum. One must always ask evaluation 'of what.' "[17] Most research projects, conversely, are primarily descriptive rather than judgmental and are only minimally concerned with goals or values — other than the more general goals of furthering knowledge and the values associated with empiricism and rationality.

Any evaluation requires an answer to the question: what is the reason for this program's existence? How do the program staff members, board of directors and others determine what is most important to the operation of this program? Even more basically, what are the essential values that underlie and determine the direction of this program? "Every action, every program has some value for some purpose," states Suchman, "therefore, it is meaningless to ask whether a program has any value without specifying value for what. . . ."[18] Typically, the very act of clarifying program goals, priorities and values as a precondition for successful evaluation itself is one of the most beneficial aspects of a program evaluation.

A statement of goals, priorities and values is not sufficiently precise, however, to enable an evaluator to determine the extent to which a program has been successful. Often, at the second step, an evaluator will request that specific program objectives be specified before the evaluation is conducted. At this point, the evaluator may be viewed as an obstruction or at least an annoyance to the daily operations of the program. The program staff will often state that they are unable or unwilling to specify objectives in all areas of the program or do not have time to do so, especially if they have just given some attention, for the first time, to the specification of general program goals, priorities and values. To a certain extent these objections are quite justified, for evaluations often do not make full use of already clearly articulated objectives. An evaluator, however, is usually interested in a limited set of objectives, namely, those which are critical to the specification of program success. Some objectives serve only as *enablers* for other objectives: that is, they are preconditions for the successful achievement of other objectives that are more directly related to program success. The enabling objectives are rarely the focus of a program evaluation.

An evaluation should center not on objectives but rather on program outcomes and, more specifically, on criteria of success. The central question that must be answered before any evaluation takes place is "what will have to happen before this program is considered a success?" Obviously this is very difficult for anyone to answer. Furthermore, different answers will be obtained from different constituencies. As Jack Noonan has noted, one of the most important political functions that should be accomplished early in the development of any program evaluation is the solicitation of answers to this question from those people on and off campus who have real or potential influence over the life and direction of the program.[19] If these influential people do not indicate what criteria of success they will accept, then an extensive and carefully conducted evaluation might be useless if the collected data are irrelevant to these criteria.

Though the identification of success criteria is usually a difficult task, it generally creates less resistance than does the specification of objectives, and it is more directly relevant to both the program staff and evaluator. The question can be rephrased in several different ways if the respondent(s) object to the specification of success criteria. A small group of influential people can be asked to imagine that the program has been in existence for two more years and has been a "success." What type of reports, observations, activities and so on would have lead them to this conclusion? Alternatively, an individual or group can be asked to generate a long list of desirable program outcomes, then be asked to rank these outcomes on the basis of two dimensions: (a) importance and (b) probability of occurance. Those outcomes that are highly important and at least moderately probable are usually the best success criteria. Highly improbable outcomes should rarely be considered criteria of success but should instead be regarded as side-benefits, if they do indeed occur.

In other instances, an individual or group might be asked to identify another program (on their own campus or another campus) which is similar in some important ways to the one being evaluated and which most people would consider "successful." The individual or group then identifies those characteristics of this successful program that seem to be critical and that are also potentially applicable to the program being evaluated. Another alternative is based on an examination of current program activities or plans. What do these indicate about desired program outcomes? What seems to be the direction in which the program is moving? If the program were to continue for two (three, four) more years with only minor resistance and moderately strong support, what would it look like at the end of this period of time? Any of these approaches can be used to generate a list of success criteria, which then become the basis for the design of the program evaluation.

The third essential step in evaluation concerns the identification of program activities and outcomes that directly relate to the success criteria. The linkage between activities, outcomes and criteria should be clear, direct and rather easily drawn if the program staff and evaluator have given sufficient attention to the specification of success criteria. Nevertheless, this step is essential, for many evaluations run into trouble because of a tendency of the evaluator and staff to skip from a specification of objectives or success criteria to the design of an evaluation. This third step requires a precise definition of what *is* and *is not* to be evaluated. No evaluation can cover all aspects of a program; every such effort requires selective perceptions and limits. Without these constraints, the evaluation becomes unfocused and random. The evaluator will not know what to attend to, and hence the program staff will rarely get information that is useful.

Specifically, the program staff and evaluator must agree on what program activities or outcomes will most directly and adequately reflect the criteria of program success. If a faculty development program is strongly service-oriented and the criteria of success relate primarily to consumer satisfaction and the improvement of performance by program participants, then the evaluation should probably focus not on the internal operations of the program but rather on those who have become involved in various activities. On the other hand, a program established in a hostile environment must initially be judged successful if it even survives and should be evaluated in terms of such internal activities and outcomes as the morale of the staff and the size of the program budget. Criteria of success, in other words, only point out the direction in which an evaluator should look. This third step requires a more detailed specification of the elements in the environment to which the evaluator should specifically attend. In some instances, this third step will be incomplete when the evaluation begins; only when the initial data are collected will the program staff be clear about all or most of the critical activities and outcomes. This recycling process is perfectly acceptable and even advisable in the case of the first-round of a complex and problematic program evaluation.

The fourth step involves the specification of evaluative procedures, instruments and strategies to study critical program activities and outcomes. This step demands insight and creativity if the evaluation is to be meaningful. The evaluator and program staff should move beyond obvious methodologies, particularly those "obtrusive" measures that disrupt the event or attitude that is being assessed. Most of the evaluative tools that are typically used in program evaluation, such as rating scales, questionnaires and on-site visits, are highly obtrusive and therefore yield evaluative information that is always suspect. Eugene Webb, Donald Campbell, Richard Schwartz and Lee Sechrest[30] offer many intriguing examples of data collection procedures that are not obtrusive. These examples should challenge each of us in our work on program evaluation.

Once the evaluative procedures, instruments and strategies have been developed, the actual evaluation takes place. This step will, of course, look quite different depending on the type of evaluation that is being conducted and the nature of the faculty development program that is being evaluated. Few generalizations can be made that hold much meaning, though one that seems justified concerns the role of the person who has been brought in as the evaluator. This individual will be more likely to have an impact on the program being evaluated if she keeps the program staff well-informed about how the evaluation is being conducted. The report of someone who remains secretive is likely to be either summarily dismissed or uncritically accepted; either consequence is unnecessary and potentially destructive. Although the evaluator might not be able to reveal all of her sources of information in order to preserve confidentiality, she should be able to describe clearly to a client what procedures have been used, the type of population that has been sampled and, in particular, any reasons why the data should be qualified.

The sixth step demands the skills of a social scientist, statistician, philosopher and novelist, for at this point the information must be compiled, distilled and drawn together in some meaningful way. This step, like the previous one, often reveals significant differences between alternative evaluation models. Those models that are heavily quantitative in nature may demand very little of the evaluator at this point other than the computation of basic, descriptive statistics unless she is making use of more sophisticated computational tools such as multivariate analysis or computer-based simulations.

Those methods that are more qualitative in nature and that make heavy use of observations, interviews or open-ended questionnaires require much more of the evaluator, and unless she is prepared to spend a significant amount of time at this step, she should avoid these "softer" models of evaluation. If the rich and often cumbersome evaluative data that are derived from observations and interviews are not greatly condensed, they will tend to overwhelm the person requesting the evaluation. At some point in the evaluative process, the evaluator must necessarily insert her own values, knowledge and even prejudices by making difficult decisions concerning what data are and are not important given the program's criteria of success, as well as what themes or images tend to be recurrent and therefore representative. The evaluator should be able to indicate why she has made each decision concerning the selection and interpretation of evaluative data.

Unless the data are totally quantitative and subjected to minimal analysis, the evaluator cannot avoid making decisions that require personal judgments and preferences. Thus, a basic requirement of any evaluator should be a clear sense of personal values, expectations and biases in the program area being evaluated. In the area of faculty development, the evaluator should be aware of and willing and able to verbalize her own general attitudes concerning teaching and learning, the nature of faculty motivation and change and the primary mission of a collegiate institution.

The seventh step also requires skills that often are neither recognized as being essential nor effectively employed by many evaluators. The analysis that has been completed must be presented in a manner that produces minimal defensiveness and maximal commitment on the part of the program staff to a creative and constructive response. Several characteristics of effective feedback have been outlined in the first volume of this handbook; among other things, a successful program evaluation should be as descriptive as possible, specific rather than general, solicited and well-timed.[31] Most importantly, this information should be offered as an hypothesis or perspective rather than as the truth. The evaluator should be concerned not so much with convincing her listener or reader that the evaluation is correct as with providing information that is pertinent and, if necessary, provocative.

If the evaluation is successful, then the reader or listener should be actively working with the information, asking questions, tracing out implications and considering alternative interpretations of the data. The evaluation will rarely be successful if the recipient devotes most of his energy and attention to arguing against the report. An evaluator must assume at least partial responsibility for this outcome, for she should be able to tailor an evaluation report to almost any reader or listener, no matter how threatened and defensive this person might be. As a general rule of thumb, the potentially defensive recipient of an evaluation report should receive highly descriptive and quantitative rather than judgmental or subjective information. The report should also clearly specify realistic actions that can be taken to alleviate critical problems, especially if these threaten the self-esteem of the recipient. In many instances, a defensive response to an evaluation report is quite justified if the report points to a problem area but provides no indications about how the problem might be solved or about potential sources of solutions. Doesn't it often make sense to deny the existence of a problem that seemingly cannot be solved? The public acknowledgement of an insoluble problem is often ill-advised, given the political purpose of many evaluations.

The final step of any evaluation process should be an evaluation of the evaluation. Hypocrisy may become apparent at this step, for the program evaluator often ignores or is unwilling to engage in the evaluation of her own work. Not only is this step essential as a demonstration of good faith, but it also helps the evaluator improve her own work — provided the evaluation of the evaluation is conducted in a constructive manner. Unfortunately, very few evaluation budgets allow for financial support of this type of activity, and this eighth step is usually completed in a brief and informal fashion. Furthermore, the evaluation of the evaluator is usually done by people who are not themselves trained as evaluators, that is, by members of the program staff. The feedback which an evaluator receives is often ill-conceived or presented in an insensitive manner. Quite understandably, it is also often loaded with feeling, for the evaluation of the evaluation usually comes from a person who has just received information that has strong personal significance. The evaluator must be able to sift through this affect-loaded feedback, not be immediately defensive about it and emerge with some new learnings. Such demands are great but usually worthwhile in terms of the professional growth of the evaluator.

The feedback to an evaluator can often be improved by imposing a delay between steps seven and eight. If the program staff and other people involved in the evaluation process can be given some time to absorb the report and fully explore its implications and value, they will be in a better place to evaluate fully and fairly the evaluation. Conversely, the eighth step should not be put off too long, for the effects of an evaluation are often absorbed rapidly into a program. Very soon, the program staff will be taking credit for the observations, insights and suggestions that were initially offered by the evaluator. While this process is usually a good sign, indicating that adoption is in effect, it does not allow for an effective evaluation of the evaluation process.

E. What Evaluation Models are Available?

Program evaluation is obviously a complex process that will differ depending on the evaluator and the program being evaluated. In a very real sense there are no general methods for evaluation but instead only individual evaluation programs that are inevitably unique. There are different schools of thought about evaluation, however, that obviously influence the way in which evaluations are conducted. In this section we will briefly describe seven models of evaluation and relate them directly to faculty development programs. The seven which we will discuss are: (1) historical-descriptive, (2) measurement-correlational, (3) quasi-experimental, (4) developmental-intensive, (5) action-research, (6) illuminative and (7) consultative.

The *historical-descriptive* model of program evaluation is probably the one which is most common in higher education, particularly in accreditation procedures that each institution must periodically face. This model focuses on the systematic and objective reconstruction of the past history of the program. Facts about the program are collected, evaluated, verified and synthesized, and defensible conclusions are reached. Typically, the historical-descriptive evaluator relies on information that is collected by and for other people, such as historical documents and general institutional statistics. In some instances, the evaluator may collect new information, primarily through the use of survey questionnaires or brief interviews. His major function, however, is usually that of verifying and interpreting data that have already been collected. Often, the evaluator is an expert in the academic field or discipline being evaluated.

The historical-descriptive model is appropriate for faculty development when the primary purpose of the evaluation is to increase the creditability of the program. In terms of the eight basic steps outlined above, historical-descriptive evaluation tends to emphasize the sixth and seventh steps (data analysis and feedback) at the expense of the first five. While several of the other models that we will consider, like illuminative and consultative evaluation, incorporate historical-descriptive methods, they go far beyond this model. Unfortunately, many of the critics of "soft" approaches to program evaluation fail to differentiate between these quite distinct models.

The second model, *measurement-correlational,* contrasts sharply with the first. Emphasis is placed on the accumulation of quantitative information that allows one to investigate the extent to which variations in one program factor correspond with variations in other factors. Typically, questionnaires or rating scales are given out which generate several different, critical indices or scores that are then inter-correlated. Faculty development evaluation, for instance, might involve the distribution of a scale which measures the respondent's impressions of the teaching-learning environment at the institution. In addition, the respondent might be asked to indicate her extent of participation in and/or knowledge of the campus faculty development program. The respondent might also be asked to indicate how worthwhile she believes the program is or can be.

A correlation between the environmental scale scores and either the acquaintance or estimate of worth ratings can yield important information. The correlation coefficient can indicate, for instance, if people who have been actively involved in the program rate the teaching-learning processes of the campus more positively than do people who are not acquainted with the program. These correlations suggest the extent to which the program's impact appears to have spread from those immediately involved to those who have had only peripheral contact; however, a correlation coefficient, in and of itself, can never indicate the nature of a casual relationship; it can only suggest that such a relationship exists.

Quasi-experimental approaches to evaluation offer a useful and often necessary compromise between the needs of an evaluator for a carefully controlled, experimental setting in which to study the impact of a program, and the needs of a program staff for maximal flexibility and minimal interference in serving the changing needs of the institution. Donald Campbell and Julian Stanley first introduced the concept of a "quasi-experimental" approach and have described a variety of designs that meet most but not all basic experimental conditions.[33] To a varying extent, each of the designs that Campbell and Stanley describe yields data that are valid and useful. "Time-series" is one example of a quasi-experimental design.[34] This approach requires a periodic measurement process, so that any changes that result from the introduction of a specific program can be measured against several past as well as future criteria. Campbell and Stanley also label the traditional control-group design as quasi-experimental if the experimental and control groups have not been randomly assigned. Typically, a control group is simply another class or department that has not been involved in the program being evaluated. An English Department, for instance, might be provided with faculty development services (the experimental group), while the History Department is not (control group). Each group is tested both before the program begins and at a certain point after the program has been implemented; students, for instance, might be asked to rate each class taught in each department on one of a number of student evaluation instruments. Changes in pre- and post-program measures are compared between the experimental and control groups. Any conclusions, however, that one might draw from this information must always be qualified, for this design is clearly a quasi-experimental one. In this instance, the two groups cannot be assumed to be equal before the program began and hence differences in rate or direction of change between pre- and post-program measures can be attributable to inherent or uncontrolled differences between the groups rather than to the program itself.

A quasi-experimental model of evaluation is compatible with the other models that will be described below. This model, however, does highlight one of the critical problems in any program evaluation. Even though the designs that are identified by Campbell and Stanley seem primitive and minimally acceptable by research standards, they are often much too elegant for a program staff that has neither the resources nor the patience to comply with the requirements of such a design. Furthermore, evaluators are rarely given an opportunity to use a quasi-experimental design unless it clearly contributes directly to the potential success of the program — in which case the evaluation design itself becomes part of the program, thereby confounding the evaluative results that are obtained.

The *developmental-intensive* model of program evaluation is actually a time-series quasi-experimental design. This particular approach begins with the assumption that any experimental design will be inadequate and inappropriate if it ignores the differences between individuals or treats these differences as "experimental error." A developmental-intensive evaluation will focus on the individual case, examining, for instance, the impact of a faculty development program on a single faculty member or department. This person or organization will be studied intensively. Patterns and sequences of growth will be examined specifically as they relate to and reveal the nature of the impact which the program has had on this growth.

The developmental-intensive model usually requires a significant outlay of time — especially at the fifth step, collection of evaluative information. On the other hand, this model only requires rather simple and direct data collection procedures, such as interviewing, observation and the review of documents. Data analysis (step six) and feedback (step seven) require considerable attention, however, especially if the evaluator wishes to generalize from this single case to the broader population that is being served by the program.

The developmental-intensive approach to evaluation is very effective as a means of informing the outsider about how the program "really works," for it provides extensive information about the way in which one person or organization relates to the program. Furthermore, this approach tends to be very persuasive, for it shows in a concrete and often dramatic manner how the program has impact. Developmental-intensive evaluations therefore often successfully meet the political purposes of evaluation. This single-case approach, however, is of limited value in a formative evaluation, though a case history or longitudinal study can be useful as a means of illustrating a more general observation or principle. The single-case approach is also of little use in the decision-making processes associated with program evaluation. Unfortunately, we tend to be either highly skeptical of or susceptible to the persuasiveness of testimonial and hence often let the individual case in fact have too little or great an influence over decision-making processes.

An *action-research* model of evaluation is also a variation on a quasi-experimental design. A primary emphasis in an action-research model is the clarification of program goals, success criteria and focal activities and outcomes (steps one, two and three). The evaluator begins by explicitly contracting with the client regarding the type of information the client wishes the evaluator to obtain, how this information is to be presented and what will be done with the information once it is collected. Furthermore, action-research is used as a means of educating the recipient of the evaluation. A successful effort will leave the client with increased capacity to conduct his own action-research project and, generally, to solve more effectively personal or organizational problems through the use of rational, empirically-based procedures and tools.

Two major projects on the evaluation of faculty development and related academic change programs have made use of action-research: the Strategies for Change and Knowledge Utilization Project[34] and the faculty development project of the Wright Institute.[35] In both cases, the evaluative process itself contributed to the growth of faculty and other professionals in the institution. The term "participant-observer," which H. S. Sullivan originally coined to describe an effective psychotherapist, is probably also appropriate as a description of the effective action-researcher. This type of evaluator is purposively "obtrusive," for he will often influence the program that is being evaluated through the timely and skillful feedback of evaluative or descriptive information.

Since action-research is not, strictly speaking, an evaluative model but is instead a general strategy for personal or organizational change, we will not describe it in any more detail but will instead move on to a more extensive discussion of two other models that are clearly evaluative in nature, that build on the basic principles of action-research and that have recently emerged as viable, alternative models of program evaluation. Since printed information on these models is not immediately available to most faculty development practitioners, we will quote fairly extensively from pertinent documents or describe specific procedures in some detail.

Illuminative evaluation is a model which has been developed by Malcolm Parlett at the Nuffield Foundation in London, England. He has used this approach to evaluate a variety of faculty development programs for the Lilly Endowment — most notably, the program of the Great Lakes College Association. This approach is also now being used to evaluate the forty-three faculty development programs that are being assisted by the Council for the Advancement of Small Colleges.

In a basic article about illuminative evaluation, Parlett and David Hamilton differentiate between a traditional, agricultural-botanical paradigm of evaluation and the social-anthrological paradigm that underlies illuminative evaluation.[36] The former tests whether or not a program has reached required standards on pre-specified criteria:

> Students — rather like plant crops — are given pretests (the seedlings are weighted or measured) and then submitted to different experiences (treatment conditions). Subsequently, after a period of time, their attainment (growth or yield) is measured to indicate the relative efficiency of the methods (fertilizers) used. Studies of this kind are designed to yield data of one particular type, i.e. "objective" numerical data that permit statistical analyses. . . . Isolated variables like I.Q., social class, test scores, personality profiles and attitude ratings are codified and processed to indicate the efficiency of new curricula, media or methods.[37]

The agricultural-botanical paradigm, according to Parlett and Hamilton, has certain notable shortcomings: in order to control for the complex set of variables that influence a program, large scale evaluations or highly controlled social experiments must be performed — the former are usually impractical, the latter, artificial; before-and-after research designs assure that a program undergoes little or no change during the period of study; the methods used impose artificial and arbitrary restrictions on the scope of the study; research of this type tends to be insensitive to the uniqueness of the individual case; and this type of evaluation often fails to reflect the varied concerns and questions of participants, sponsors and other interested parties.

The social-anthropological paradigm, on the other hand, is concerned with such questions as: "How does the program operate?" "How is it influenced by the various settings in which it is applied?" "What do those persons who are directly concerned with the program regard as its advantages and disadvantages?" and "How are students' intellectual tasks and academic experiences most affected by this program?" Illuminative evaluation attempts to discover and document what it is like to be a participant in a particular program and to discern and discuss a program's most significant features, recurring components and critical processes.

Three stages characterize the illuminative evaluation process. The first involves the observation of the program without major preconceptions.

> At the onset, the researcher is concerned to familiarize himself thoroughly with the day-to-day reality of the setting or settings he is studying. In this he is similar to social anthropologists or to natural historians. Like them he makes no attempt to manipulate, control, or eliminate situational variables, but takes as given the complex scene he encounters. His chief task is to unravel it; isolate its significant features; delineate cycles of cause and effect; and comprehend relationships between beliefs and practices, and between organizational patterns and the responses of individuals.[18]

The second stage involves the selection of specific aspects of the program for more sustained and intensive inquiry. During the first stage, the evaluators become "knowledgeable" about the program in its setting. During the second, the questioning process becomes more focused and communication becomes more coherent and realized; in general, observations and inquiry become more directed, systematic and selective.

The third stage consists of the search for general principles that underlie the organization of the program. Patterns of cause and effect are identified within the program; individual findings are placed in a broader explanatory context.

> Obviously, the three stages overlap and functionally interrelate. The transition from stage to stage, as the investigation unfolds, occurs as problem areas become progressively clarified and re-defined. The course of the study cannot be charted in advance. Beginning with an extensive data base, the researchers systematically reduce the breadth of their inquiry to give more concentrated attention to the emerging issues. This "progressive focusing" permits unique and unpredicted phenomena to be given due weight. It reduces the problem of data overload; and prevents the accumulation of a mass of unanalyzed material.[19]

Parlett and his associates make primary use of four evaluative techniques: observation, interviews, questionnaires and tests, and documentary and background sources. These particular methods are certainly not unique to the illuminative evaluation procedure; yet used in this manner, they take on new significance, becoming vehicles for understanding rather than quantification.

In terms of the eight basic steps of evaluation described in the previous section, Parlett seems to emphasize the middle and later steps, placing relatively less emphasis on the first three. Illuminative evaluation seems to integrate these first three steps with data collection and analysis, steps five and six. Program goals and criteria of success emerge from and are clarified through the observations of ongoing program activities, through interviews and questionnaires, and through the review of documents. In this way, the illuminative evaluator helps to identify goals and criteria that reflect not so much what the leaders hope will be accomplished by the program as what actually is being accomplished and what probably will be accomplished given the current direction of the program, values and resources of the staff, needs of the constituencies being served and so forth.

Illuminative evaluation represents a new trend in the field of program evaluation. Malcolm Parlett is not alone in advocating a significant break with past approaches; Ed Kelley and his colleagues at Syracuse University advocate and practice similar evaluative procedures. Many of the promoters of formative evaluation are similarly involved in a re-examination of the values and assumptions that underlie traditional approaches to program evaluation.

The *consultative* model of program evaluation builds upon both action-research and illuminative evaluation, emphasizing the contracting process of the former and the socio-anthropological processes of the latter. In addition, the consultative model emphasizes the role of the evaluator as a source of not only judgmental and/or descriptive feedback but also of information about strategies, activities and skills that can help the program staff move from its current state (as determined through steps four, five, six and seven) to a desired state (as determined through steps one, two and three). This model has been labeled "consultative" because of this additional role that is assumed by the evaluator.

The first action taken by a consultative evaluator is to meet with the director of the faculty development program that is being evaluated in order to establish a contract based on the director's expressed needs and concerns regarding the program. Some directors may want to obtain more information about how the program is perceived by certain influential faculty and/or campus administrators; others may want the evaluator to explore the impact which the program has had on certain types of program participants. Still other directors may want to investigate specific staff problems.

In each instance, the contract is established between the program director and the evaluator, thereby making the director the primary client. This point is extremely important in consultative evaluation, for it helps to make this type of process of maximum, formative benefit to the program staff. Since the program director is the client, she is in a position to determine the criteria by which success is established for the program (step two), as well as the specific activities or outcomes that are to be of primary concern to the evaluator (step three). Furthermore, in collaboration with the evaluator, she plots the general strategy for the evaluation (step four) and helps the evaluator conduct an effective evaluation (step five) by providing him with lists of people who might provide insightful interviews, permission to observe certain staff or policy meetings and program activities, information on general campus issues (budget, personnel, policies), access to files and so forth. Since the program director is to be the primary recipient and beneficiary of the evaluation, then it is to her advantage to provide the evaluator with extensive and representative information about the program. If the director provides biased or incomplete information, then she will get back from the evaluator a report that is just as biased and incomplete. The role of the evaluator as a source of new program ideas also encourages the program director to work in an open and collaborative manner with him, for most program directors rarely have access to a consultant who not only knows something about the field of faculty development but also has acquired an extensive knowledge about the campus program through his evaluative efforts.

After the contract has been established, the evaluator (or more frequently an evaluation team) conducts an evaluation of the program which in most respects resembles the illuminative evaluation process described by Parlett and Hamilton. Primary attention is given to the collection of information from four different sources: (1) in-depth interviews, (2) observations of "naturally-occurring" events and of the general campus milieu; (3) careful review of central program documents as well as a sample of typical, routine communications (letters, memoranda and notes), and (4) questionnaires, scales and other psychometric instruments. Of these four evaluation methods, the interviews are used with the greatest and the psychometric instruments with the least frequency, though this need not be the case given the differing needs and concerns of various program directors. To the extent that a consultative evaluation is serving summative as well as formative purposes, the collection of psychometric data will tend to be emphasized, as will the accumulation of documents through the use of a flexible format such as the portfolio discussed in Chapter Three.

An on-campus evaluation will usually last for one to four days. When it is completed, the evaluator will meet again with the program director and other people that the director might wish to invite. The purpose of this meeting is to review the information that has been collected about the program and to provide an opportunity for the program staff to interact with the data in a more open and non-defensive manner than might be possible if that information were initially summarized in written form. As is the case with illuminative evaluation, several major themes are identified which are responsive to the needs and concerns expressed in the contract. This feedback session provides the director and other people related to the program with an opportunity to receive, react to and possibly influence the evaluative information that has been collected.

This feedback session usually lasts for two to four hours; in some instances more than one session is scheduled. A first session may be held after about one half of the evaluation is completed, so that if the evaluator and program staff disagree about a specific perception or conclusion the evaluator can collect more data that will confirm or disconfirm its validity. Two feedback sessions are also strongly recommended when an evaluation is being conducted for the first time or if the program to be evaluated is particularly complex or controversial.

Before the final feedback session, the consultative evaluator will not only summarize the information that has been obtained but will also develop a list of program recommendations that relate specifically to the themes that have been identified. These recommendations may range from a detailed description of a specific, alternative program activity to a listing of people or institutions that are doing the same kind of program or encountering similar problems. The consultative evaluator should avoid making a single proposal or specifically emphasizing one recommendation, for if a fairly large number are offered, the program director and staff can freely and critically examine each one without having to be concerned with the feelings or preferences of the evaluator.

The final action to be taken in a consultative evaluation is the production of a written report. A first draft of this report (including recommendations) is submitted to the program director for her reactions. If the feedback session has been run effectively and openly, this draft should contain no surprises. The director's reaction to this draft are needed, however, for inevitably one or more statements will look quite different when written down than when spoken. Furthermore, some of the program director's reactions during the feedback session may or may not have influenced the written report, and the program director needs to know the extent of this influence.

Though the program director is the primary client, she should never dictate what is written in the final report. The director might, however, choose to ignore or prevent distribution of certain sections of the report. This is her perogative. The report, as it is submitted, however, should represent the evaluator's best attempt at a fair and valid description and evaluation of the program. In responding to suggestions that have been made by the program director regarding changes in the first draft of the written report, the evaluator should accept those changes that will make the report more accurate or clear with reference to the evaluator's own perceptions and judgments. If the program director recommends significant changes with which the evaluator does not agree, then these recommendations should be recorded in a separate section of the final report (or in brackets next to pertinent sections), provided that the director wishes her comments to be formally acknowledged in this manner.

Consultative evaluation is not appropriate as a summative evaluation procedure, for the client in this type of evaluation is usually someone other than the program director. Consultative evaluation is also not appropriate if the program to be evaluated is conflict-ridden and the evaluation is being conducted primarily for political purposes; a program director in this setting will rarely be able to contract for open and constructive use of a consultative evaluator.

Another inherent weakness in this model centers on the dual role to be played by the evaluator. This person must be not only skillful as an evaluator but also knowledgeable about the type of program being evaluated. While this person is not uncommon, he certainly cannot be trained in a three or four day workshop. A consultative evaluator must have several years of experience in the field being evaluated and must be knowledgeable about a variety of other programs in the area. He must, of course, also be skillful in the use of illuminative evaluation or other formative techniques.

With all of these drawbacks, the consultative evaluation model holds great promise for the faculty development practitioner who wishes an evaluation to be a positive experience. Consultative evaluation provides the program director with resources for program monitoring, change and self-renewal, which, after all, are the primary goals of any constructive evaluation process.

All seven of the models which we have described should conclude with an evaluation of the evaluation. As described in the previous section, this final step provides the evaluator with information that is essential to the continual improvement of his evaluation procedures. None of the seven models which have been described are immune to improvement and renewal. Each model can be made a significantly more effective tool for the evaluation and improvement of faculty development programs by a successful evaluation of its own operation.

F. The Life of a Program Evaluator: A Personal Note

We will bring this chapter to a close with a few words about what program evaluation means in personal terms for the individual who is conducting the evaluation. First of all, evaluators rarely receive much direct gratification from their work or clear statements of appreciation from their clients. If the evaluation has been successful, those involved in the program will usually be preoccupied at the conclusion of the evaluation with re-conceptualizing and re-planning. Although the effective evaluator will have frequently helped to facilitate significant change in a program, change itself is often a painful and disconcerting process; the evaluator is rarely appreciated for his efforts.

Secondly, the evaluator must assume multiple roles which are often contradictory. The evaluator does not have to embrace a consultative model in order to experience a conflict in role demands. At times the effective consultant must behave like a researcher; he must be concerned with issues of methodology, control and generalization. At other times, he must behave like a social anthropologist; he must be a good observer, must respect the values and behavioral patterns of the "culture" being observed and must be sensitive to the effects of his own intrusions. Then again, the evaluator must be a consultant regardless of the model being employed. He must be a good listener, diagnostician and advisor. Perhaps most importantly, the evaluator must at times play the role of saint. He will be inevitably faced with instances where personal integrity must win the day over interpersonal approval, professional advantage or monetary gain. The evaluator will have to reject informal and often very subtle pressures to change his perceptions and evaluations. The evaluator will have to engage frequently in the difficult and anguishing task of distinguishing between a change in opinion which is based on new information or a persuasive argument, and a change which is based on expedience, a desire to avoid a stressful situation or the potential for personal gain. These discriminations are rarely easy to make.

The evaluator, in sum, must be satisfied with indirect reward or internally-derived gratification for a job that is completed fairly and skillfully. She must be willing to live with the dissonance of incompatible and confusing roles. Since most people cannot or will not work under these conditions, an evaluator will often be tempted to seek more direct rewards and/or will ignore one or more of these four critical roles. As a result, many evaluators are not very successful, and many become disillusioned with their work. The care and feeding of evaluators is essential to the health of any area of social programming — including faculty development. Those of us who use evaluation in our own programs should provide a setting in which the evaluator can work effectively and openly. Practitioners of faculty development rarely benefit from an evaluation if the evaluator must constantly fight against the program staff or if the staff does not openly share both its positive and negative reactions concerning the process and outcomes of the evaluation. Faculty development is a complex and perplexing field; it can benefit from evaluations that are conducted fairly, skillfully and openly.

NOTES:

[1] Thomas Huxley, quoted by Stephen Issac, *Handbook in Research and Evaluation* (San Diego: Edits Publishers, 1971), p. 13.

[2] Paul Dressel, *Handbook of Academic Evaluation* (San Francisco: Jossey-Bass, 1976), p. 1.

[3] Robert Diamond and others, *Instructional Development for Individualized Learning in Higher Education* (Englewood Cliffs, New Jersey: Educational Technology Publications, 1975), p. 77.

[4] John F. Noonan, in a formal presentation on evaluation made for directors of faculty development programs funded by the Lilly Endowment (June, 1976).

[5] Scarvia Anderson, Samuel Ball, Richard Murphy and Associates, *Encyclopedia of Educational Evaluation* (San Francisco: Jossey-Bass, 1976), p. 406.

[6] Anderson, Ball, Murphy and Associates, pp. 175-177.

[7] Michael Scriven, "Pros and Cons about Goal-Free Evaluation," *Evaluation Comment* (1972), 1-4.

[8] Benjamin Bloom, J. Thomas Hastings and George Madaus, *Handbook on Formative and Summative Evaluation of Student Learning* (New York: McGraw-Hill, 1971).

[9] Dressel, *Handbook of Academic Evaluation*, p. 12.

[10] Daniel Stuffelbeam and others, *Educational Evaluation and Decision-Making* (Bloomington, Ind.; Phi Delta Kappa National Study Commission on Education, 1971).

[11] Robert Diamond, in an informal presentation made at Syracuse University's Conference on Instructional Development (July, 1976).

[12] Ernest Pascarella and Patrick Terezini, *Ratings of the Academic Program by Freshman Students in Systematically Designed and Conventional Courses: A Discriminant Analysis* (Report Number Six) (Syracuse, New York: Center for Instructional Development, 1975).

[13] For further information, see Robert Diamond, "Syracuse University: A Systematic Approach to Curriculum and Faculty Development," in William H. Bergquist and William Shoemaker, eds., *A Comprehensive Approach to Institutional Development* (San Francisco: Jossey-Bass, 1976), pp. 91-100.

[14] For further information, see Robert Blake and Jane Mouton, *Building a Dynamic Corporation Through Grid Organizational Development* (Reading, Mass.: Addison-Wesley Publishing Co., 1969); and Douglas McGregor, *The Human Side of Enterprise* (New York: McGraw-Hill, 1961).

[15] Edward Kelley, in an informal presentation made at Syracuse University's Conference on Instructional Development (July, 1976).

[16] Edward Suchman, *Evaluative-Research* (New York: Russell Sage Foundation, 1967).

[17] Suchman, pp. 37-38.

[18] Suchman.

[19] Noonan, formal presentation for the Lilly Endowment (June, 1976).

[20] Eugene J. Webb, Donald T. Campbell, Richard D. Schwartz and Lee Sechrest, *Unobtrusive Measures* (Chicago, Rand McNally, 1966).

[21] William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development* (Washington, D.C.: Council for the Advancement of Small Colleges, 1975), pp. 224-225.

[22] Donald Campbell and Julian Stanley, *Experimental and Quasi-experimental Designs for Research* (Chicago: Rand McNally, 1966).

[23] Campbell and Stanley, p. 37.

[24] John D. Lindquist, *Strategies For Change: Innovation As Adaptive Development* (Cardiff, Calif.:Pacific Soundings Press, in press).

[25] Nevitt Sanford, "Academic Culture and the Teacher's Development," *Soundings*, 54 (1971), 357-371.

[26] Malcolm Parlett and David Hamilton, "Evaluation as Illumination: A New Approach to the Study of Innovatory Programs" (Occasional Paper Number Nine) (Edinburgh, Scotland: Center for Research in the Educational Sciences, 1972).

[27] Parlett and Hamilton, p. 4.

[28] Parlett and Hamilton, p. 16.

[29] Parlett and Hamilton, p. 18.

INSTRUMENT NUMBER SIXTEEN

TITLE: General Questionnaire for the Evaluation of a Faculty Development Program

SOURCE: William H. Bergquist

GENERAL DESCRIPTION: Many times in the evaluation of a faculty development program there is a need for general information about its impact on various groups (faculty, administrators, students) in the institution. Even if illuminative or consultative evaluation procedures are used, a general-purpose questionnaire is often valuable if distributed to a broad and representative sample.

The questionnaire that follows is a composite of several that have been used in a variety of institutional and consortial settings and can be easily modified to meet the unique evaluative needs of a specific faculty development program. This questionnaire generates three different types of information: (1) how knowledgeable is the respondent about this faculty development program; (2) how effective has this program been from the respondent's perspective; and (3) how successfully has the program met several specific objectives in the areas of instructional, personal, program, organizational and policy development. The program objectives listed in Section III have been derived from a statement of program goals produced by the Center for Professional Development in the California State University and Colleges System.

INSTRUCTIONS FOR USE: The questionnaire should be distributed to a broad and representative sample of faculty (ranging from at least 30% in a large university to the entire faculty in a small college). This questionnaire is also designed to be distributed to administrators and students if their reactions are desired. The questionnaire should be accompanied by a letter or memo from the director of the faculty development program, which should indicate: (1) the reason for distribution of the questionnaire, (2) some indication about how the data that is collected from this questionnaire will influence the future directions of the program, and (3) some indication of whether or not a summary of this data will be made available to those who respond. Depending on the politics of the campus, a supportive letter from either a key academic administrator or faculty leader could also accompany the questionnaire. If possible, a brief description of the faculty development program should be appended, so that the respondent can be reminded of the various activities that are associated with the program to be evaluated.

FACULTY DEVELOPMENT: AN EVALUATION

Section I: Your Knowledge of the Faculty Development Program On This Campus

Please indicate the extent to which you have participated in, or are familiar with, the objectives and/or activities of the faculty development program at this institution. Please check the one box below which most accurately describes your current level of familiarity with this program.

- ☐ *No Knowledge:* this is the first time I have ever heard of this program.
- ☐ *Little Knowledge:* I have heard of this program, but know nothing about its objectives or activities.
- ☐ *Some Knowledge/No Involvement:* I know something about the objectives and/or activities of this program but have never participated in any of its activities.
- ☐ *Moderate Knowledge/Active Involvement:* I am familiar with the objectives and activities of this program and/or have participated in at least one of its activities.
- ☐ *Extensive Knowledge/Extensive Involvement:* I am an active and knowledgeable participant in this program.
- ☐ *Full Knowledge/Full Involvement:* I am actively involved in the planning and/or implementation of this program on a daily, operational basis.

Additional Comments:

Section II: Your Evaluation of the Overall Success of the Faculty Development Program in Solving Campus Problems

Given your own perceptions of the problems which this institution now faces or will face in the near future, and given your own personal priorities for the mission of this institution, to what extent do you think the faculty development program at this institution has been successful to date? Please check the one box below which most accurately describes your response to this question.

☐ *Highly Successful:* I think that the program has been critical to the institution in terms of more effective performance of a mission that I think is important and in terms of confronting or preparing for problems that I think the institution now faces or will face in the near future.
☐ *Moderately to Highly Successful*
☐ *Moderately Successful:* I think that this program has been somewhat successful in helping the institution but has not been critical to the success of this institution and/or has been unsuccessful in fully meeting its potential or addressing problems that are really important.
☐ *Slightly to Moderately Successful*
☐ *Slightly Successful:* I think that this program has been of marginal use to a few people in the institution. It certainly has not been a significant program.
☐ *Not Successful:* The program has not achieved anything of importance at this institution.
☐ *Inadequate Knowledge:* I do not know enough about this program or institution to make a judgment.

Additional Comments:

Section III: Your Assessment of the Extent to which the Faculty Development Program on this Campus has Met Certain Objectives

If you are familiar with the activities of the faculty development program at this institution, please rate the extent to which you think each of the objectives listed below has been met as a result of the activities offered by the program. Use the following scale to rate each objective:

A: The faculty development program has not apparently contributed in any way to the achievement of this objective.
B: The faculty development program has only made a minimal contribution to the achievement of this objective.
C: The faculty development program has made a moderate and noticeable contribution to the achievement of this objective.
D: The faculty development program has made a significant and essential contribution to the achievement of this objective.
E: I am uncertain about the contribution of the faculty development program concerning this objective.

Please place the appropriate letter in the box that is located to the left of each statement of an objective.

Instructional Development:

☐ 1. The program has assisted participants to clarify and define their attitudes, values and assumptions regarding the teaching/learning process.

☐ 2. The program has assisted participants to define specific measurable objectives for both the intellectual and personal development of students.

☐ 3. The program has assisted participants to design and develop alternative learning materials, activities and experiences appropriate to the objectives for students with various types of learning styles, utilizing, wherever possible, campus resources for the improvement of teaching.

☐ 4. The program has assisted participants to conceptualize and define their teaching style and experiment with new techniques and methods consonant with their style and appropriate to their objectives.

☐ 5. The program has assisted participants to develop alternative evaluation procedures to determine the extent of student accomplishment and teacher effectiveness, including the use of feedback from students and colleagues.

☐ 6. The program has assisted participants to increase their knowledge and participation in discussions with colleagues of the issues and problems of higher education in general and the teaching/learning process in particular.

Code: A: No Impact; B: Minimal; C: Moderate; D: Significant; E: Uncertain/Unfamiliar

Personal Development:

☐ 7. The program has assisted participants to identify and clarify their attitudes, values, goals and aspirations, and evaluate their personal, instructional and curricular programs and organizational roles in light of these values and goals.

☐ 8. The program has assisted participants to identify areas of personal and professional strengths and areas which need to be improved.

☐ 9. The program has assisted participants to improve interpersonal and communication skills in order to interact more effectively with students, colleagues and other individuals.

☐ 10. The program has assisted participants to develop attitudes favorable to creative instructional innovation and experimentation, as well as to continued ongoing personal and professional development.

Program Development:

☐ 11. The program has assisted participants to develop new programs designed to meet the needs of different kinds of students.

☐ 12. The program has assisted participants to organize and develop programs which offer students alternative options of study and development.

☐ 13. The program has assisted participants to increase their collaborative efforts and involvement to develop new instructional and curricular programs.

☐ 14. The program has assisted participants to evaluate new and existing programs in a systematic manner.

Organizational Development:

☐ 15. The program has assisted participants to clarify and define organizational goals.

☐ 16. The program has assisted participants to develop policies, practices and procedures designed to achieve goals, particularly those relating to teaching and learning.

☐ 17. The program has assisted participants to develop evaluation procedures to assess attainment of institutional goals.

☐ 18. The program has assisted participants to clarify and define attitudes, values and assumptions regarding the management of their organizations.

☐ 19. The program has assisted participants to identify and develop the effectiveness of various leadership styles.

☐ 20. The program has assisted participants to develop management policies and procedures that are responsive to individuals with varying work styles and temperaments.

Policy Development:

☐ 21. The program has assisted in the development of campus policies and procedures to encourage, facilitate and reward faculty for teaching effectiveness and efforts to improve instruction.

☐ 22. The program has assisted in the development of reliable and acceptable procedures for evaluating the quality of teaching.

INSTRUMENT NUMBER SEVENTEEN

TITLE: Sample Interview Schedule for Evaluating a Faculty Development Program

SOURCE: William H. Bergquist

GENERAL DESCRIPTION: Interviews are a valuable source of data in many program evaluations. A brief interview schedule is offered here as an illustrative example of a procedure that can be used in collecting evaluative data from faculty, administrators or students.

INSTRUCTIONS FOR USE: The following interview can usually be completed in sixty minutes. The specific questions and their sequence should be modified to be responsive to the unique features of both the program being evaluated and the person being interviewed.

1. In what specific faculty development activities on this campus have you engaged? What is your evaluation of each of these activities? How might they have been improved? What other activities would you like to see in the area of faculty development?
2. How are you different now as a teacher (administrator) from the way you were before participating in the program? What role has the program played in these changes? What have been the negative consequences of these changes? What have you learned from these changes that would modify the way you would become involved in this program if given another opportunity?
3. Have any changes taken place in the organizations with which you are affiliated as a result of this program? What have these changes been? What have been the consequences of these changes? Have you been unsuccessful in bringing about some organizational changes in recent years? Could the program have been of use to you in this regard? How?
4. Has your personal life changed as a direct result of this program — in a way that is independent of your life as a teacher (administrator, student)? How has it changed? What have been the consequences of these changes? What has been the reactions of members of your family? Other relatives? Friends?
5. Are there some important personal changes that have not taken place that you hoped would as a result of this program? What have been the primary barriers to making these changes occur? How might you enable these changes to take place if you were to begin the program again?
6. If you were to be given $200,000 for a three year faculty development to be implemented at an institution like your own, what would be the major ingredients of such a program? What do you think have been the most important learnings for you from this faculty development program about how people do or do not change? About how institutions do or do not change?
7. Is there anything else you would like to say about faculty development on this campus?

PLANNING DOCUMENT NUMBER TWO

TITLE: Sample List of Faculty Development Program Goals and Rationales

SOURCE: William H. Bergquist and faculty participants in the first year (1974) of the faculty development program at the College Center of the Finger Lakes, Corning, New York

GENERAL DESCRIPTION: The accompanying list of program goals and rationales was originally compiled as a guideline for the development and evaluation of activities in a four-college consortium-based faculty development project. This list of goals is based on a conceptual model of faculty development as being composed of instructional, organization and personal development (see Chapter One). It also emphasizes a training-based approach to faculty development which may not be appropriate in all institutional settings.

This list of goals and rationales can be useful to most faculty development practicitioners as an example of how one group of faculty conceptualized their goals for a faculty development program, as well as how they rationalized and explored the implications of these program goals. This list is also of value in its identification of both short and long term goals. By identifying both types, the faculty have separated out those goals that should immediately influence decisions about program activities from those goals that should influence the planning, research and development activities of the program staff.

INSTRUCTIONS FOR USE: This list of goals and rationales can be used by a faculty development planning team as a starting point in its own identification of goals and rationales that are appropriate to the program that is being planned or evaluated. The present list should not be adopted without a full discussion of its worth and appropriateness for the campus program being considered. If goals and rationales are not "owned" by members of the program staff or advisory committee who will determine the nature and direction of the program, then they will never become an integral and working part of the planning and implementation processes of the program staff.

Program Goals and Rationales

I. Professional Development for Faculty

A. Short Term Goals (to be accomplished in the three-year program period)

1. **Faculty members will be knowledgeable about a wide range of student learning styles and value the legitimacy of each.**

   Instructional development should provide faculty with a variety of training experiences, diagnostic tools and theoretical models that will assist them in identifying and structuring instructional experiences to accommodate various student learning styles. Critical to this process is the instructor's acceptance of each style. This goal is directly related to the faculty member's identification and acceptance of their own and others' personal teaching styles.

2. **Faculty members will be knowledgeable about a wide range of teaching styles and value the legitimacy of each.**

   An effective instructional development effort assumes the awareness of each faculty member of her preferred style(s) of teaching. Such awareness usually necessitates some external source of information: diagnostic services, video-tape feedback, microteaching, peer observation, student evaluation and so forth. The faculty member should be aware of the costs as well as the benefits of specific styles and should be provided with assistance, in terms of both personal support and skills training, in increasing the repertoire of teaching styles that are available to her.

3. **Faculty members will be provided with opportunities to exchange ideas and expertise with colleagues and consultants about the teaching-learning process and specific educational methods and technologies.**

   An instructional development program that is to accomplish tangible changes must provide a variety of forums in which faculty can share professionally-related experiences and can consult with experts in specific fields of instruction. Each faculty member should be provided with information on current instructional methods and technologies that are appropriate to their discipline and style(s) of teaching.

4. **Faculty members will be able to clearly and consistently state and act upon their own personal educational philosophies and values and will initiate or support educational programs that are compatible with these philosophies and values.**

   An effective teacher will not only be aware of various teaching-learning-environmental interactions and be skilled in the use of various methods and technologies but will also have defined a set of personal instructional goals, based on critically-examined values and philosophies, which will give purpose and direction to his instructional expertise. A faculty member who clearly and consistently adopts specific educational philosophies and values can also assist the institution more effectively in moving purposively toward its own unique and critically-examined mission.

B. Long Term Goals (to be accomplished following the program period)

1. Faculty will be encouraged and tangibly supported in their efforts to assist each other, both within their home institution and at other participating institutions.

   An instructional development program that will be sustained for any significant period of time must rely primarily on the resources of the faculty, as well as administrators, staff and students, of the participating institutions. These faculty must be provided with support and/or recognition that is directly beneficial, like release time, salary increases, promotions and/or secretarial assistance.

2. Faculty members will demonstrate that effective teaching and learning can be achieved efficiently and, ideally, at reduced instructional cost through the adoption of new instructional strategies and settings.

   Most curricular innovations over the past decades have almost universally required a reduction in student-faculty ratios and thus an increase in instructional costs. Unfortunately, faculty have either avoided entirely, or have been reluctant to deal with, the relationship between personal teaching style(s) and curricular change on the one hand and the implications these changes have for instructional costs on the other. Dramatic financial pressures at their colleges, however, have demonstrated to many faculty that instructional costs must not be only an administrative concern; increasingly, faculty must take leadership in experimenting with such methods as team teaching and audio-tutorial techniques because these approaches may improve the teaching-learning process and do it more economically.

II. Professional Development for Administrators

A. Short Term Goal

Administrators will be able to make adequate organizational decisions which have the commitment of all or most members of the institution and will be able to sustain and manage organizational conflict in a creative and productive manner.

Any organization that is able to respond effectively to changing needs and conditions must be managed by individuals with competencies in decision-making and the resolution of conflict. These competencies can be acquired through training programs but can only be sustained through administrative commitment to organizational norms and structures that are compatible with these competencies. The participating institutions should, therefore, be provided with not only training but also organizational consultation at the highest level of administration.

B. Long Term Goal

Administrators will be encouraged and tangibly supported in their efforts to assist each other, both within their home institutions and at other participating institutions.

The organizational consultation that is needed to sustain new modes of decision-making and conflict-management can be provided most effectively and economically by members of the institutions itself and/or members of other similar institutions that are participating in the program.

III. Professional Development for Students

A. Short Term Goal

Students will be able to assess realistically personal educational goals and preferred styles of learning.

The student who is able to make independent, reasonable plans concerning his own educational program will be able to make the most effective use of available educational resources in the institution while preparing himself for sustained, independent learning throughout life.

B. Long Term Goal

Students will be able to work effectively with faculty and administrators in planning for institutional change.

If students are to be brought into a governance role with reference to both their own curriculum and the overall curriculum of the institution, then they must be provided with decision-making and conflict-management skills that enable them to perform these functions skillfully.

IV. Organizational Development

A. Long Term Goals

1. Each participating institution will provide services and reward systems that encourage professional competence and innovation.

   Administrators, faculty and students in collegiate institutions should recognize the important role each plays in influencing the quality of their campuses. This influence can be constructive if procedures and structures are developed that assist rather than interfere with the creation of new educational environments and the continual renewal of the teaching-learning process. Administrators, in cooperation with faculty and students, must design reward systems that will sustain high quality instruction, that will encourage moderate risk-taking (and in some instances, high risk-taking) and that are compatible with defined institutional missions.

2. Each institution will develop a climate that encourages increased communication between all segments of the campus and that leads toward an increased sense of community.

   An effective institutional change effort must have an impact on the social climate of the organization. This climate can provide support for an individual in her development of new competencies if it is one of trust (belief that other members of the organization are interested in one's own welfare), openness (willingness to disclose relevant interpersonal information) and interdependence (recognition of the necessary and productive role to be played by other members of the organization in one's own life). Communication channels, in both form and substance, are critical to the development of such a climate. To the extent that information is clearly and unambiguously presented and widely shared, it will tend to facilitate a sense of community and increase organizational effectiveness.

3. Each institution will develop an atmosphere of trust, openness and interdependence that is conducive to personal growth, professional development and the improvement of interpersonal skills.

   Personal development goals will only be achieved if the institution supports and protects the learnings of individuals in the institution. Training workshops, in isolation, rarely produce significant change in the individuals they serve. The organizations with which the individual affiliates must assist the individual in the translation of these new learnings into daily activities. A climate of trust, openness and interdependence is supportive of not only organizational effectiveness but also of personal, professional and interpersonal growth.

V. Personal Development

A. Long Range Goals

1. Members of the participating institutions will be provided with specific services that encourage and enable them to identify and reassess personal values, attitudes, goals, plans and feelings.

   Each institution should make available to its administrators, faculty, staff and students, training and consultation services that can lead them to a more realistic, yet freeing, sense of self. These services should increase the individual's sense of self-esteem, while enabling him to increase competencies in the development of personal and professional life plans and resolution of emotional conflicts.

2. Members of the participating institutions will be provided with specific services that encourage and enable them to work more creatively and productively in their profession.

   Professional development services should be provided by each institution to its administrators, staff and faculty. These services should enable the member of the institution to expand his professional competencies while also increasing his personal job satisfaction. The professional development services consist not only of skills-training in job related areas, but also of training and consultation in skill areas of a more general nature, like creative problem-solving, small group leadership, management by objectives and professional values-clarification.

3. Members of the participating institutions will be provided with specific services that encourage and enable them to work more effectively with other people.

   Interpersonal skills-training should be provided to each member of the institution who wishes to work more effectively with other individuals. This skills-training service should emphasize interpersonal communication and expression of feeling, as well as assessment of interpersonal needs and styles. By focusing on interpersonal skills that enable the participating institutions to complete specific tasks, the program will move toward increased institutional effectiveness.